

United States Department of Transportation



PB98-122153

Marketing Information Package

Office of Small and Disadvantaged
Business Utilization (OSDBU)

400 7th Street, SW - Room 9414
Washington, DC 20590

Telephone: (202) 366-1930, (800) 532-1169
Fax: (202) 366-7538



**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

400 Seventh St., S.W.
Washington, D.C. 20590

Dear Entrepreneur:

One of the primary objectives of the Office of Small and Disadvantaged Business Utilization (OSDBU) is to provide information to small and disadvantaged business enterprises (DBE's), including minority and women-owned firms, concerning participation in the Department of Transportation's (DOT) procurement opportunities.

To assist you in the marketing efforts, we have developed this Marketing Information Package. Included in the package you will find the most current DOT Procurement Forecast and information on the DOT Short-Term Lending and Bonding Assistance Programs. The Procurement Forecast can be very valuable marketing and informational tool as it contains the following information for each planned procurement:

- *procuring office and phone number
- *brief description of procurement
- *estimated dollar range
- *anticipated solicitation dates

If you identify potential procurement opportunities from the forecasts, please follow up with the referenced Small Business Specialist for the procuring agencies that are listed in the Marketing Information Package.

The DOT's Short-Term Lending Program is designed to offer certified DBE's an opportunity to obtain a line of credit at prime interest rates to finance accounts receivable arising from transportation-related projects. The maximum line of credit is \$500,000. Through the Bonding Assistance Program, certified DBE's can apply to obtain bid, performance, or payment bonds for transportation-related projects. The maximum bond amount is \$1,000,000 per project. Additional information concerning both programs is contained in the Marketing Information Package.

I wish you very much success in your business endeavors and I hope you will find this information helpful.

Sincerely,

Luz A. Hopewell, Director
Office of Small and Disadvantaged
Business Utilization

DOT Electronic Bulletin Board / Internet Access

Information on the DOT Office of Small and Disadvantaged Business Utilization (OSDBU), is now accessible via Internet and through direct dial up. OSDBU offers information electronically as part of the Department of Transportation's connection to the Information Superhighway. DOT's connection is via the (Internet accessible) Gopher server and World Wide Web Server.

The DOT Gopher Server is a text based information storage device (basically a very large hard disk) that is accessible to the public by one of two methods. The first, for those who do not have Internet access, is simply done by dialing **1-800-665-6087**. Any common public communications software such as Procomm will allow direct dial-up access to the DOT Gopher. For those with Internet access, the command

`"gopher gopher.dot.gov"`

will also provide a direct connection. Once inside the gopher, maneuvering around is menu driven, and very easy.

The DOT's World Wide Web server is the graphics based information storage medium which offers all of the features of the gopher, but also offers many advanced features such as graphics, video, sound and imaging. At this time, access to the Web is only available to those who have Internet access (and appropriate software) by employing the command:

`"http://www.dot.gov"`

As with the gopher, once inside, maneuvering around is menu driven and very user friendly.

DOT also has an anonymous File Transfer Protocol (FTP) server which can be reached with the command:

`"ftp ftp.dot.gov"`

The user should login in as "anonymous" and use their Internet E-Mail address as the password. All files on the DOT gopher can be downloaded using the ftp application.



Electronic Commerce/Electronic Data Interchange (EC/EDI)

In October 23, 1993, President Clinton signed an Executive Order to the heads of the executive departments and agencies of the federal government on streamlining government procurement through Electronic Commerce (EC). The Executive Order requires the federal government's civilian and non-civilian agencies conversion to electronic commerce by January 1997. The Federal Acquisition Streamlining Act (FASA) of 1994, further provides for federal agencies to have functional EC capabilities in order to conduct small purchases up \$100,000. This transition will move the federal government from a paper-based to an electronically- based procurement system.

Electronic data interchange emerged in the late 1960's as a communications tool that enables companies within an industry to exchange electronically a wide range of business documents, including purchase orders, invoices, shipping orders and confirmations. The development of transmission standards has furthered the growth of EDI, which has enabled the number of companies using electronic data interchange to grow significantly. By 1993, the Department of Defense (DOD) had implemented a variety of pilot EDI systems at a number of buying installations. As a result of these early efforts, the DOD now spearheads the conversion effort at the federal level to EDI by developing the infrastructure for the process. Civilian agencies are also in the process of transforming their procurement systems.

Since EDI is directed initially towards small purchases, the U.S. Small Business Administration (SBA) has been tasked with the responsibility of coordinating the education and training effort to the small business community. SBA will use its resource partners and field personnel, as well as other federal agencies, to educate the small business community. In addition, SBA will, through its Electronic Bulletin Board, provide periodic updates of information, and a calendar of training events involving EDI for both the federal and private sectors. You can reach SBA Online at **1-900-463-4336**, set modem at 9600 bps, N,8,1.

As the conversion process will take some time, initially electronic data interchange (EDI) will affect most directly current government vendors and those business owners actively seeking to do business with the federal government by bidding on contracts. If you are a current government vendor, you should begin your familiarization with EDI initiatives by contacting the federal agency to whom you are selling.

For additional information and updates on the federal government's EDI activities, watch SBA Online. For specific information on the government-wide EDI effort coordinated by the Department of Defense contact the DOD Electronic Commerce Information Center at **1800-EDI-3414**.

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NHTSAFE.GEN	-	NHTSA Safework: Small Businesses and Highway Traffic Safety
SBA8(a).GEN	-	SBA Section 8(A) Program--Fact Sheet
PASS.GEN	-	SBA Procurement Automated Source Selection (PASS)
25QUEST.GEN	-	Twenty-Five Most Asked Questions About Federal Procurement
8AQUEST.GEN	-	The Most Frequently Asked Questions About The 8(a) Program



Additional Information Available Upon Request

U.S. DOT Small Business Specialists Personnel

DBE Liaison Officers Transit Agencies

DBE Liaison Officers Airports

DOT Short-Term Lending Program Application

DOT Bonding Assistance Program Application

DOT DBE Program Regulations - 49 CFR 23



U.S. Department of Transportation Overview

The United States Department of Transportation was formed in April 1967, and consists of nine Administrations representing the various transportation modes, plus the U.S. Coast Guard, the St. Lawrence Seaway Development Corporation and the Office of the Secretary. This year the DOT is celebrating its 30 year anniversary.

The Department serves as the focal point in the Federal Government for the coordinated national Transportation Policy. It is responsible for transportation safety improvements and enforcement, international transportation agreements and the continuity of transportation services in the public interest. The Department also prepares and proposes all legislation relating to transportation, coordinates transportation issues with other concerned agencies, and provides technical assistance to the states and cities in support of transportation programs and objectives.

Through the Office of the Secretary and each of the Operating Administrations, the Department acquires equipment and services for its functional elements and disburses funds to the states and municipal authorities for transportation purposes.

The Department has over 100,000 employees, including Coast Guard civilian and military personnel, located throughout the world. These include specialists in many areas such as air traffic control, highway engineering, rail safety, hazardous materials, auto and truck safety, and program administration.

The United States Department of Transportation Operating Administrations include:

- U.S. Coast Guard
- Federal Aviation Administration
- Federal Highway Administration
- Federal Railroad Administration
- National Highway Traffic Safety Administration
- Federal Transit Administration
- Saint Lawrence Seaway Development Corporation
- Maritime Administration
- Research and Special Programs Administration
- Surface Transportation Board
- Bureau of Transportation Safety

U.S. Department of Transportation
400 Seventh Street, SW
Washington, DC 20590
Telephone: (202) 366-4000

U.S. Small Business Administration
Procurement Center Representative
Reg. Holloway, MBA
DOT S-42
400 7th Street, SW, Rm 9410
Washington, DC 20590
Telephone: (202) 366-5325 or (800) 532-1169



The Office of Small and Disadvantaged Business Utilization (OSDBU)

Overview

The United States Department of Transportation (DOT) established the Office of Small and Disadvantaged Business Utilization (OSDBU) in accordance with Public Law 95-507, an amendment to the Small Business Act and the Small Business Investment Act of 1958. This office is responsible for implementing and monitoring DOT's goals for small and disadvantaged businesses.

DOT's Small and Disadvantaged Business Program is designed to ensure that small businesses have an equitable opportunity to participate in DOT's procurement programs, and that they receive a fair share of the resulting contract awards. The status of a business entity as "small" is determined by criteria established for each industry by the Small Business Administration (SBA) size standards as published in the regulation of the SBA (Title 13, CFR Part 121).

In keeping with national policy, DOT works closely with the Department of Commerce, Minority Business Development Agency on minority business matters and with the SBA in assisting small firms owned and controlled by socially and economically disadvantaged individuals. Economically or socially disadvantaged individuals for government procurement purposes include: Black Americans; Hispanic Americans; Native Americans (American Indians, Eskimos, Aleuts, or native Hawaiians); Asia Pacific Americans (persons with origins from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, U.S. Trust Territory of the Pacific Islands, Northern Mariana Islands, Laos, Cambodia, or Taiwan); Asian Indian Americans (persons with origins from India, Pakistan or Bangladesh); and members of other groups designated by the SBA under 13 CFR 124.105(d).

OSDBU Programs

The OSDBU is responsible for the development and implementation of an effective program of activities directed at ensuring minority, women-owned and small and disadvantaged business participation in DOT's contracting direct procurement and federal financial assistance activities.

The office monitors all DOT procurement activities that involve the participation of minority, disadvantaged, women and small business entrepreneurs, including the goal setting and procurement practices of DOT financial assistance recipients; namely, state and local transportation agencies. It also negotiates direct procurement goals with all DOT Operating Administrations and the SBA. Mediating and resolving sensitive procurement related issues are also a function of the OSDBU.

The OSDBU also provides assistance in obtaining short term working capital and bonding for disadvantaged, minority, and women-owned businesses. The Short Term Lending Program enables DBE/MBE/WBEs to obtain accounts receivable financing for transportation related projects at prime interest rates. The Bonding Assistance Program provides an opportunity for certified DBEs to obtain bid, performance, and payment bonds for transportation related contracts. Up to \$1,000,000 bond readiness is also provided for firms seeking to bid on DOT contracts.



Firms may consider utilizing the services of the U.S. Department of Commerce, Minority Business Development Centers (MBDCs), Small Business Development Centers (SBDCs), or State Supportive Services Contractors of state DOTs as possible sources for assistance or guidance in preparing a loan or bond application package. The program will also accept loan and bond packages developed by private resources and organizations.

Both programs have the same basic eligibility requirements. These are: (1) the applicant must hold a current, valid certification as a DBE, MBE, or WBE from an agency applying DOT certification requirements or be 8(a) firms certified by the SBA and, (2) the firm must possess or is seeking a transportation related contract which supports the application.

The OSDBU also operates the Liaison Outreach and Services Program (LOSP) through cooperative agreements with chambers of commerce and trade associations. In addition, the National Information Clearinghouse (NIC) and student internship programs in conjunction with Historically Black Colleges and Universities and Hispanic serving institutions are services provided by OSDBU.

For Further Information

Department of Transportation
Director, Office of Small and Disadvantaged Business Utilization (S-40)
400 7th Street, S.W., Room 9410
Washington, DC 20590
Telephone: (800) 532-1169
(202) 366-1930
FAX: (202) 366-7538



U.S. DEPARTMENT OF TRANSPORTATION

LIAISON OUTREACH AND SERVICES PROGRAM-LOSP

US DOT Office of Small & Disadvantaged Business Utilization (OSDBU)

LOSP Overview

The LOSP is an OSDBU Assistance Program which establishes a communications link between DOT, its grantees, recipients, contractors, subcontractors and the small and/or disadvantaged business community. It increases awareness of DOT contracting opportunities and financial assistance programs by disseminating DOT marketing materials and relevant information at selected conferences, seminars and marketplace events. It develops and/or strengthens linkages with state DOT's, local transportation agencies, transportation prime contractors and others to encourage small and small disadvantaged business participation in DOT and transportation-related programs. The following is a list of the LOSP Regional Directors.

Liaison Outreach Services Program

Marie Hendricks

U.S. Department of Transportation, OSDBU
400 7th Street, SW, Room 9414
Washington, DC 20590
Telephone: (202) 366-5333
Toll Free: (800) 532-1169
FAX: (202) 366-7228
Email: marie.hendricks@ost.dot.gov

REGION I & II

Maine, New Hampshire, Vermont, Massachusetts, Connecticut,
Rhode Island, New York, New Jersey, Delaware, Pennsylvania,
Puerto Rico, Virgin Islands

Bruce Young-Candelaria

Hispanic-American Chamber of Commerce
(HACC)
67 Broad Street
Boston, MA 02109
Telephone: (617) 261-HACC(4222)
Toll Free: (888) 775-LOSP(5677)
FAX: (617) 261-6333
Email: 103342.1733@compuserve.com

REGION III & IV

North Carolina, South Carolina, Georgia, Alabama, Florida, Mississippi,
Tennessee, Kentucky, Virginia, West Virginia, Maryland, Washington DC

Enrique Carrillo

Latin Chamber of Commerce (LCC), USA
2350 Coral Way, Suite 301
Miami, FL 33145
Telephone: (305) 860-0780
Toll Free: (800) 448-2585
FAX: (305) 860-0580
Email: ems@emsservices.com

REGION V & VII

Michigan, Minnesota, Iowa, Indiana, Ohio, Wisconsin, Illinois, Missouri,
Kansas, Nebraska

Jean L. Conyers

Metropolitan Chamber of Commerce (MCC)
400 N. Saginaw St., Suite 101A
Flint, MI 48502
Telephone: (810) 235-5514
Toll Free: (800) 672-5516
FAX: (810) 235-4407
Email: metro@tir.com

REGION VI

Texas, Oklahoma, Louisiana, Arkansas, New Mexico

Barbara Burton

Texas Association of Minority Business
Enterprises (TAMBE)
Mail: P.O. Box 6206
Shipping: 2028 E. Ben White Blvd., 1st floor Bank Lobby
Austin, TX 78741
Telephone: (512) 322-0177
Toll Free: (800) 322-0447
FAX: (512) 440-4952
Email: tambe@io-com
Website: <http://www.io.com/tambe.iosp>

REGION VIII

Colorado, Wyoming, Montana, North Dakota, South Dakota, Utah

Richard Pierce & Susan Savage

American Indian Science & Engineering
Society (AISES)
5661 Airport Blvd
Boulder, CO 80301
Telephone: (303) 939-0023
Toll Free: (800) 250-3111
FAX: (303) 939-8150
Email: aises@spot.colorado.edu

REGION IX

California, Nevada, Arizona, Hawaii, Guam

Victor Valdez

Arizona Hispanic Chamber of Commerce (AHCC)
2400 N. Central Avenue, Suite 303
Phoenix, AZ 85004
Telephone: (602) 252-1101
Toll Free: (800) 742-8269
FAX: (602) 252-6110
Email: ahcc@enet.net

REGION X

Washington, Oregon, Idaho, Alaska

Dolly Small

Women Construction Owners & Executives
13333 Bel Red Road #238
Bellevue, WA 98005
Telephone: (206) 957-4566
Toll Free: (888) 957-5677
FAX: (206) 957-9877
Email: wcoelosp@ix.netcom.com



United States Department of Transportation

Contracting with DOT

Office of Small and Disadvantaged
Business Utilization (OSDBU)

400 7th Street, SW - Room 9414
Washington, DC 20590

Telephone: (202) 366-1930, (800) 532-1169
Fax: (202) 366-7538

<http://osdbuweb.dot.gov>

***CONTRACTING WITH THE UNITED STATES
DEPARTMENT OF TRANSPORTATION (DOT)
JULY 1997***

This pamphlet has been prepared to assist you, the prospective contractor, in the process of doing business with DOT. It intends to tell you who we are, where we are, and what we buy. Perhaps more importantly, we hope to assist you in marketing your products or services to the department. We welcome your personal or written inquiries concerning our contracting program.

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DEPARTMENTAL OVERVIEW

The United States Department of Transportation (DOT) was formed in April 1967, and consists of twelve Operating Administrations representing the various transportation modes:

- Bureau of Transportation Statistics
- Federal Aviation Administration
- Federal Highway Administration
- Federal Railroad Administration
- Federal Transit Administration
- Maritime Administration
- National Highway Traffic Safety Administration
- Office of the Secretary
- Research and Special Programs Administration
- Saint Lawrence Seaway Development Corporation
- Surface Transportation Board
- United States Coast Guard

The Department serves as the focal point in the Federal Government for a coordinated national transportation policy. It is responsible for transportation safety improvements and enforcement, international transportation agreements and the continuity of transportation services in the public interest. The Department also prepares and proposes all legislation relating to transportation, coordinates transportation issues with other concerned agencies, and provides technical assistance to the states and cities in support of transportation programs and objectives.

Through the various Operating Administrations, which comprise the Department, equipment and services are acquired to fulfill mission objectives and funds are disbursed to the states and municipal authorities for transportation purposes.

The Department has approximately 109,000 employees, including Coast Guard personnel, located throughout the world. These include specialists in many areas such as air traffic control, highway engineering, rail safety, hazardous materials, automobile, boat, and truck safety, and program administration.



July 1997



GENERAL CONTRACTING INFORMATION

Regulations Governing DOT Acquisitions

Departmental acquisition activities are governed by the "Federal Acquisition Regulations" (FAR). The FAR is codified as Chapter 1 of Title 48, Code of Federal Regulations. The FAR implements various statutes and regulations, such as those dealing with small business and fair labor practices, which impact upon the contracting process. For matters peculiar to its own acquisitions, DOT has issued the "Transportation Acquisition Regulation" (TAR). The objectives of the FAR and TAR are to:

- Assure the efficient and effective expenditure of Government funds.
- Optimize the opportunity for attainment of program objectives.
- Obtain adequate and effective competition in the acquisition of goods and services.
- Assure impartial, equitable, and thorough evaluation of bids and proposals and other information received.
- Select the best proposal(s).
- Negotiate fair and reasonable contracts giving appropriate consideration to work to be performed, schedule, and cost.
- Achieve effective administration of contracts in accordance with the statements of work and terms and conditions.

Any firm wishing to do business with the Federal Government should have ready access to the FAR. A copy may be purchased from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C., 20402, telephone (202) 512-1800.

Bidder's Mailing List (Reference FAR Subpart 14.2)

The contracting process is usually initiated when a particular program or project office develops a requirement and submits a request to the contracting office. The assigned Contracting Officer will then identify potential sources and prepare an appropriate solicitation in the form of a Sealed Bid or Request for Proposal.

An important step in the contracting process is the proper identification of a company and its capabilities to each of the DOT activities with which a firm may wish to do business. A "Solicitation Mailing List Application," Standard Form (SF) 129, is available for this purpose. In submitting the SF-129, sufficient supplemental information should be provided to ensure that the firm's products and capabilities are fully understood. This action will place the firm on the bidder's mailing list at the contracting office, but does not necessarily qualify it for specific requirements which may arise. Each contracting office maintains a separate file of SF-129.

Commerce Business Daily (Reference FAR Subpart 5.2)

Most proposed Department contracting actions exceeding \$25,000, must be publicized in the "Commerce Business Daily" (CBD) prior to release of a solicitation. This allows interested firms to contact the acquisition office and request a copy of the solicitation. Reviewing the CBD affords a company the opportunity to selectively and efficiently participate in the contracting process. A subscription to the CBD may be obtained from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402, telephone (202) 512-1800.



Contracting Opportunities Information

While most DOT contracting opportunities are advertised in the CBD prior to solicitation, prospective contractors are encouraged to develop a general awareness of DOT's program and acquisition requirements. The Department publishes its annual procurement forecast, which is available through the Department's Small and Disadvantaged Business Office (see page 43). This is especially important in research and development where long-range planning and the allocation of a company's resources are essential. DOT welcomes inquiries and discussions with appropriate company representatives. Inquiries of a general nature or with DOT-wide implications should be addressed to the Director, Office of Acquisition and Grant Management (M-60, 202-366-4285) 400 7th Street SW, Washington, D.C. 20590.

Competition Advocates (Reference FAR Subpart 6.5)

The Department fully supports Part 7 of *Public Law 98-369*, Competition in Contracting Act of 1984. As such, the Secretary has appointed a Senior Competition Advocate. Each of the twelve operating administrations have also appointed Competition Advocates

The Competition Advocates are responsible for challenging barriers to and promoting full and open competition in the acquisition of supplies and services by the Department. The Department's Senior Competition Advocate is:

Ms. Patricia Parrish
Department of Transportation
Office of the Secretary (M-20)
400 7th St., SW, Room 10320
Washington, DC 20590
Telephone: (202) 366-4747

Federal Supply Schedule (Reference FAR Subpart 8.4)

Prior to initiating acquisitions from commercial sources, the Contracting Officer must determine whether or not the required supplies or services are available from a Federal Supply Schedule established by the General Services Administration (GSA) or as a common stock item at a GSA supply depot. Firms interested in doing business as a Federal Supply Services contractor should contact the Washington DC Area GSA Business Service Center at (202) 708-5804.

Sealed Bidding (Reference FAR Part 14)

Sealed bidding is a method of contracting that employs competitive bids, public opening of bids, and awards. Each sealed bid includes technical specifications, delivery or completion dates, place and method of delivery, nature and number of reports or manuals which may be required, operational tests and instructions, and other items which should be considered in submitting a bid. The terms and conditions are set forth in detail as are the date, hour, and place where bids will be publicly opened and recorded. Contract clauses are generally incorporated by reference. Unless specifically authorized, a telegraphic or alternate bid will not be considered.



Negotiated Procurement (Reference FAR Part 15)

Most DOT procurement dollars are spent under negotiated procedures. Compared to sealed bidding, negotiation is a more flexible procedure that includes the receipt of proposals from offerors, permits bargaining, and usually affords offerors an opportunity to revise their offers before award of a contract. Bargaining in the sense of discussion, persuasion, alteration of initial assumptions and positions, and give-and-take may apply to price, schedule, technical requirements, type of contract, or other terms of a proposed contract.

Unsolicited Proposals (Reference FAR Subpart 15.5)

An unsolicited proposal is an offer initiated and submitted to the DOT by a prospective contractor, without solicitation from the Government, with the objective of obtaining a contract. It is used to submit, for purposes of evaluation, unique or novel ideas or concepts which the prospective contractor has originated, conceived or developed and owns, and which may have application to the work of the Department or one of its administrations. Acceptance of proposals for evaluation does not imply a promise to pay, a recognition of novelty or originality, or any restriction on the use of information contained therein to which the Government would otherwise be entitled. The fact that a requirement follows receipt of, or is based on, an unsolicited proposal does not in and of itself justify sole source contracting. Prospective DOT contractors can make their new ideas and novel concepts known by submitting an unsolicited proposal to any of the contracting offices which buy the type of item being proposed. Historically, the Department has funded very few unsolicited proposals.

Architect and Engineering Services (A&E) (Reference FAR Subpart 36.6)

Architect-Engineer services are related to construction, alteration, or repair of buildings, bridges, roadways, or other kinds of structures and utility systems. The work may include master planning, engineering studies, preparation of plans and specifications, and supervision and inspection of construction work.

Contracting for A&E services is based on an evaluation of the qualifications of interested firms. The evaluation is performed by an A&E Evaluation Board which selects a minimum of three firms for interview discussions with the Board. For some projects the firms selected for interviews may also be required to prepare written information pertaining to, among other things, relevant experience, technical approach, project schedule, and key personnel. The Board recommends to the appropriate DOT official at least three firms, in order of preference, considered best qualified to perform the required work. Negotiations are conducted with the firm given first preference. If a mutually satisfactory contract cannot be agreed to, negotiations are then initiated with the firm given second preference on the list. Generally, this procedure continues until a contract has been negotiated.

Architect-engineer qualification data is maintained on file by each Operating Administration within the Department. Firms may file data at the headquarters or field installation procurement offices where they desire to do business. This data should be prepared using General Services Administration (GSA) Standard Form 254, "Architect-Engineer and Related Services Questionnaire," which provides a uniform presentation of a firm's general qualifications.

Projects with services estimated to cost \$25,000 or more are announced in the Commerce Business Daily (CBD). These announcements invite interested qualified firms to submit GSA Standard Form 254 "Architect-Engineering and Related Services Questionnaire," if one is not already on file, and GSA Standard Form 255, "Architect-Engineer Related Services for Specific Project," which provides detailed information on a firm's qualifications for a particular project.



Financial Assistance Programs

The Department, through its Operating Administrations, has joined in cooperative ventures with state and local governments and the private sector to furnish transportation facilities, and to create a better transportation system. This spirit of cooperation and intermodal transportation development has been fostered by the many grant and assistance programs administered by the Department and carried out by the recipient-partners.

Through these programs, the Department distributed over \$19.5 billion each year to help finance thousands of projects across the country. Approximately 85 percent of the assistance dollars was for construction. The major portion of the construction funds is allocated to state highway agencies for highway construction. The balance is provided to local public transit and airport authorities for mass transit and airport facilities. DOT regulations require recipients to formally advertise and award the construction contracts on a competitive basis.

The Office of Small and Disadvantaged Business Utilization and the Supportive Services Program provide assistance to Minority Business Enterprises (MBE), Disadvantaged Business Enterprises (DBEs) and Women-Owned Business Enterprises (WBE) to participate in the Department's financial assistance programs.

Small Business Innovation Research (SBIR) Program

The Small Business Innovation Development Act of 1982 (PL 97-219), reauthorizing legislation (PUB.L. 99-443) and PUB.L. 102-564 (Small Business Research and Development Act), seeks to encourage the initiative of the private sector and to use small business as effectively as possible in meeting Federal research and development objectives. To comply with the statutory obligations of the Act, DOT has established a SBIR Program which conforms to guidelines and regulations provided by the Small Business Administration. Annually, small businesses are solicited to submit innovative research proposals that address high priority requirements of the Department and have potential for commercialization. The DOT SBIR Program is a three-phase process:

Phase I: The conduct of feasibility-related experimental or theoretical research or Research and Development (R&D) efforts on specified research topics. The dollar value of the proposal should not exceed \$100,000 and the period of performance may be up to six months. The primary basis for award will be the scientific and technical merit of the proposal and its relevance to DOT requirements. (Only Phase I awardees are eligible to participate in Phase II)

Phase II: This phase is the principal research or R&D effort having a period of performance of approximately two years with a dollar value of up to \$750,000. DOT will accept Phase II proposals under the SBIR Program only from firms which have previously received a DOT Phase I award. Awards would be based upon the results achieved in Phase I, the technical merit of the Phase II proposals, potential for commercialization and commitment for follow-on funding from non-federal sources for Phase III.

Phase III: This phase is to be conducted by the small businesses with non-Federal funds to pursue commercial applications of the research or R&D funded in Phases I and II by the Department. Phase III may also involve follow-on non-SBIR funded contracts with components of DOT for products or processes for use by the Government.



Eligibility Requirements: The organization must qualify as a small business for research or R&D purposes; the primary employment of the principal investigator must be with the proposing firm at the time of award and during the proposed research effort; and the research or R&D work must be performed in the United States and/or possessions.

To be placed on the mailing list for a copy of the annual DOT SBIR Program Solicitation, which is issued during mid-February, or to request other information, please write to:

DOT/SBIR Program Office, DTS-22
U.S. Department of Transportation
Research & Special Programs Administration
Volpe National Transportation Systems Center
55 Broadway, Kendall Square
Cambridge, Massachusetts 02142-1093
Attn.: Joseph Hennebury, DOT SBIR Program Director
Telephone: (617) 494-2712 FAX: (617) 494-2497

Subcontracting Opportunities

Recognizing that small firms often do not have the capability to perform as a prime contractor on certain large contracts, DOT promotes the involvement of small business at the subcontract level. Special contract clauses which require the prime contractor to maximize small and minority business subcontracting opportunities are included in large DOT prime contracts in accordance with Public Law 95-507. Small and disadvantaged business firms are encouraged to identify their capabilities to major prime contractors.

Small Business Administration and Preferential Contracting Programs

Preferential contracting was first authorized by the Small Business Act of 1953, which set up the Small Business Administration (SBA) to aid and counsel small businesses and to ensure that small firms receive a fair share of Government contracts. Amendments such as Public Law 95-507 have significantly expanded and strengthened Federal Government contract and subcontract opportunities for small and disadvantaged businesses. The various programs provided under the Act, as amended, are described in the following sections.

Small business firms, especially newly formed organizations, are encouraged to contact their nearest SBA office for assistance and to learn of the many programs and opportunities that are available to them. These include contracting and technical assistance as well as financial and management assistance. Inquiries may also be addressed to the Small Business Administration, 409 Third Street S.W., Washington, D.C. 20416, or to the nearest field office of the SBA.

The "U.S. Government Purchasing and Sales Directory" published by the SBA lists major Federal purchasing offices, including the military services, summarizing what they buy, and provides useful information on selling to the Government. This publication may be purchased from the Superintendent of Documents, Government Printing Office, Washington D.C. 20402, telephone (202) 512-1800.

Small Business Set-Asides (Reference FAR Subpart 19.5)

This program requires agencies to limit competition on certain contracts to qualified small businesses so that small firms do not have to compete with large ones for the same contracts. However, because the law requires the Government to buy at competitive prices, contracts are set aside when two or more small business firms are expected to bid to ensure adequate competition. SBA establishes size standards which determine a firm's eligibility to bid on set-asides. These standards are established on an industry-by-industry basis, using dollar volume of sales or number of employees, to determine eligibility.



Small Business-Small Purchase Set-Asides (Reference FAR Subpart 13)

Public Law 99-661 amended the Small Business Act to require that all supplies or services of \$25,000 or less, which are acquired through small purchases procedures, be set aside for small business if the Contracting Officer determines there is reasonable expectation that at least two offers will be received from responsive and responsible offerors. If the value of the solicitation is between \$10,000 and \$25,000, the Contracting Office must post the solicitation for a period of *not less than ten days*. Such information shall be posted not later than the date the solicitation is issued and remain posted for at least ten days regardless of the date of award.

In order to assist you in marketing, the names, addresses and telephone numbers of those individuals responsible for small purchases at their contracting activity have been included, along with the location where solicitations are publicly posted at that activity.

8(a) Program (Reference FAR Subpart 19.8)

Section 8(a) of the Small Business Act, as amended, authorizes SBA to contract for goods and services with Federal agencies. SBA then subcontracts actual performance of the work to socially and economically disadvantaged small businesses which have been certified by SBA as eligible to receive these contracts. The major advantage of this program is that it provides Government contracts on a noncompetitive basis to socially and economically disadvantaged small businesses. SBA also offers managerial, technical, and financial support to participating firms.

DOT gives special emphasis to identifying procurement requirements for matching with the capabilities and potential of approved 8(a) firms. Qualifying firms interested in participating in the program should contact the nearest SBA office.

Labor Surplus Area Set-Asides (Reference FAR Part 20)

A labor surplus area is a geographical area identified by the U.S. Department of Labor (DOL) as an area of concentrated unemployment or underemployment. Under the set-aside program, competition for a contract is limited to labor surplus area concerns. A labor surplus area concern means a firm that together with their first tier subcontractors will perform substantially in a labor surplus area. Performance is substantially in a labor surplus area if the cost incurred under a contract on account of manufacturing, production, or performance of appropriate services in a labor surplus area exceeds 50 percent of the contract price. Contracts are set aside when enough qualified firms are expected to bid to ensure that awards will be made at fair and reasonable prices.

The DOL defines and classifies labor surplus areas. Consult the publication, "Area Trends in Employment and Unemployment," available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, telephone (202) 512-1800. For technical assistance, or for answers to questions concerning the procedure for classifying labor surplus areas, write to:

U.S. Department of Labor, Employment and Training Administration (ETA)
200 Constitution Ave., NW
Washington, DC 20210
Telephone (202) 219-5257



FEDERAL AVIATION ADMINISTRATION

The Federal Aviation Administration (FAA) purchases equipment, services, supplies, and supporting spare parts in the aircraft, communications, air navigation, and air traffic control fields.

To perform its primary mission of controlling the nation's airspace, the FAA operates a network of air traffic control towers, air route traffic control centers, and flight service stations. It installs, maintains, and operates the visual and electronic aids necessary for air navigation. Further, the FAA issues and enforces rules, regulations, and standards for the manufacture, operation, and maintenance of aircraft. The agency administers a grant program for development of public use airports and develops standards and technical guidance on airport planning.

In FY 93, the FAA awarded approximately \$2.1 billion in contracts and approximately \$2 billion is planned for FY 94. Major functions of the FAA related to acquisition include the following:

- Develop and implement airport capacity enhancement goals and objectives.
- Fulfill military airspace and air traffic control needs.
- Acquire and provide the systems, procedures, facilities, and devices needed for a safe and efficient system of air navigation and air traffic control to meet the needs of civil aviation.
- Conduct programs in aircraft and aviation safety research and development.
- Conduct aviation education and information programs.
- Perform aeromedical research.
- Support development and testing of improved aircraft, engines, propellers, and appliances.

FAA's Washington headquarters is responsible for agency-wide program planning, direction, control and evaluation. Major acquisitions and most research and development contracts (R&D) are awarded by this office. Some of the equipment includes complete navigational aid systems, radar network systems, display units, aircraft, aircraft landing and aircraft traffic control systems, and computers with supporting software.

FAA R&D contracts range from applied research studies to the demonstrations and testing of new hardware. Research studies cover such subjects as automating air traffic control (both Terminal and En route) weather research, and allocating airspace to prevent collisions. The hardware portion of the R&D program includes experimental equipment in the computer, communications, radar, navigational aids, and test equipment areas.

FAA regulatory and air traffic control functions are carried out in approximately 1,000 staffed facilities throughout the United States and in Puerto Rico, Guam, and the Marshall Islands. FAA also maintains approximately 23,000 facilities in the National Airspace System.

Nine regions and two centers are responsible for performing the FAA's field operations within their assigned geographic boundaries.

The FAA regional offices award A&E construction contracts for such projects as installation of a complete system involving access roads, security fencing, towers, buildings, and the actual installation of a navigational or landing aid system. These construction contracts range up to several million dollars. The regional offices also buy operating supplies, maintenance, and spare parts for emergency repairs of FAA facilities within their regional boundaries.

The FAA has a test and evaluation facility near Atlantic City, New Jersey, that supports the FAA's approved research and development program. The FAA Technical Center provides hardware and software support for the National Airspace System, awards contracts for R&D as well as a large variety of supplies and services to include acquisition of electronic, mechanical and optical equipment or systems, A&E services, construction projects, investigative studies, and engineering in support of its research, development, test, and evaluation mission.



The Mike Monroney Aeronautical Center in Oklahoma City, Oklahoma, is a centralized support facility which conducts centralized training (all air traffic controllers are given their initial training here) and provides central warehousing and supplies. The Center purchases a wide variety of equipment, supplies, services and supporting spare parts for the FAA's fleet of aircraft, communications, air navigation, and air traffic control systems. In addition, acquisitions are made for training activities, including pilot training. Purchases are made from vendors nationwide for central stock at the Center and direct shipment to FAA activities worldwide. The following is a list of the FAA major procurement centers and Regional Offices:

National Headquarters

(Purchases on a National Basis)

Federal Aviation Administration Contract Division,
ASU-300
800 Independence Avenue, S.W.
Washington, D.C. 20591
Kathy Frost Telephone: (202) 267-3627
John Graham, Sm. Purchases Section Chief
Telephone: (202) 267-3617
Room 404*

FAA Technical Center

Federal Aviation Administration
FAA Technical Center
Contracts Branch, ACM-510
Atlantic City International Airport,
New Jersey 08405
Bob Loftus, Telephone: (609) 485-5360
4th Floor T&A Building*
Frank Mierzejewski, ACM-501, SADBUS
Telephone: (609) 485-4384

*FAA Small/Disadvantaged Business
Utilization (OSDBU) Office:*

FAA Headquarters
Inez C. Williams, Room 715
Special Assistant for Small/
Disadvantaged Business Utilization, ARA-5
Telephone: (202) 267-8881
Frederick Dendy, ARA-5
Small Business Specialist
Telephone: (202) 267-7454
FAX: (202) 267-5058/(202)493-4380
800 Independence Avenue, SW
Washington, DC 20591

Aeronautical Center

Federal Aviation Administration
Mike Monroney Aeronautical CTR AMQ-1
P.O. Box 25082 Oklahoma City, Oklahoma 73125
Catherine Routon, Dir. Office of Acquisition
Gerald Lewis, SADBUS
Telephone: (405) 954-7700
L.K. Pitchford, Small Purchases AMQ-200
Telephone: (405) 954-7720
Room 308, Multi-Purpose Building*

*New England Region (Maine, Vermont,
New Hampshire, Massachusetts, Connecticut,
and Rhode Island)*

Federal Aviation Administration
Acquisition Mgmt Branch, ANE-55
12 New England Executive Park
Burlington, Massachusetts 01803
Kevin Hart, Telephone: (617) 238-7660
Room 103*

*Eastern Region (New York, New Jersey,
Pennsylvania, Delaware, Maryland, Virginia,
and West Virginia)*

Federal Aviation Administration
Acquisition Management Branch, AEA-55
Fitzgerald Federal Building (Bldg. 111)
JFK International Airport
Jamaica, New York 11430
Carol Tringali, Section A, Supervisor
Cathy DeToma, Section B, Supervisor
Telephone: (718) 553-3089 Room 259*



Southern Region (Kentucky, Tennessee, North Carolina, South Carolina, Mississippi, Alabama, Georgia, Florida, Puerto Rico, and Virgin Islands)

Federal Aviation Administration
Acquisition Management Branch, ASO-55
1701 Columbia Avenue
College Park, Georgia 30337
Mack Irwin, ASO-55A
(SADBUS) Telephone: (404) 305-5770
Room 405 *

Great Lakes Region (Minnesota, Wisconsin, Michigan, Illinois, Indiana, Ohio, North Dakota, and South Dakota)

Federal Aviation Administration
Acquisition Management Branch, AGL-55
2300 East Devon Avenue
Des Plaines, Illinois 60018
Telephone (708) 294-7232
Herb Payer, SADBUS (708) 294-7346
Room 458*

Central Region (Nebraska, Iowa, Kansas, and Missouri)

Federal Aviation Administration
Acquisition Mgmt. Branch, ACE-55
601 East 12th Street, Federal Bldg. 1
Kansas City, Missouri 64106
Steven Switzer/Sharon Calabro
Telephone: (816) 426-3401, Rm 1524*

Southwest Region (Arkansas, Louisiana, Oklahoma, Texas, and New Mexico)

Federal Aviation Administration
Acquisition Mgmt. Branch, ASW-55
2601 Meacham Blvd
Fort Worth, Texas 76137-0055
Cheryl Thomas, (817) 222-4399
2nd Floor, Building 6*

Western-Pacific Region (Nevada, Arizona, California, Hawaii, Samoa, and Guam)

Federal Aviation Administration
Acquisition Mgmt. Branch, AWP-55
Post Office Box 92007
World Way Postal Center
Los Angeles, California 90009
B.J. Fisher, (310) 725-7561
Room 5018*

Northwest-Mountain Region (Idaho, Oregon, Washington, Montana, Wyoming, Colorado, and Utah)

Federal Aviation Administration
Acquisition Mgmt. Br., ANM-55
1601 Lind Ave., S.W.
Renton, Washington 98055
V. Joyce Nitschke, Small Purchases
Telephone (206) 227-2055/57
Art Fregoso, SADBUS, (206) 227-2838
Suite 340*

Alaska Region (Alaska)

Federal Aviation Administration
Acquisition Mgmt Branch, AAL-55
222 West 7th Avenue, No. 14
Anchorage, Alaska 99513
Karla Shaw Telephone (907) 271-5859
Modular C, 3rd Floor

* For information regarding small purchases and locations where small purchases are located.



FAA AIRPORT AND AIRWAY IMPROVEMENT ACT

The FAA grants funds to airport authorities for airport development, planning, and noise compatibility projects under the Airport and Airway Improvement Act of 1982, as amended. During FY 1993, 1,434 projects having a total dollar value of 1.8 billion was placed under grant agreement.

Grants are made to municipalities, counties, states, and other entities. Planning funds include those for airport master plans that address aviation needs during a 20-year period. Typical work under a development project includes land acquisition; site preparation; construction, alteration, and repair of runways, taxiways, aprons, and roads within airport boundaries; construction and installation of lighting, utilities, navigational aids, and aviation-related weather reporting equipment; limited terminal development at commercial service airports; aircraft rescue/fire fighting training facilities; and air and water quality projects. Grants may not be made for the construction of hangars, parking areas for automobiles, for buildings not related to the safety of persons on the airport, or for art objects or decorative landscaping.

Airport grantees are subject to the requirements of the DOT concerning disadvantaged business enterprise (DBE). Currently, more than 1000 airport authorities have implemented programs for participation of DBEs in FAA-assisted contracting. In addition, legislation enacted in 1987 requires that to the maximum extent practicable, DBE's own and operate at least 10% of the concessions doing business at federally funded airports.

Larger commercial service airports, known as "primary" airports, are required to implement a DBE concession plan. A primary airport is one that has more than 10,000 passengers enplaned annually. Currently, 420 primary airports are required to implement a DBE concession plan. Concessions covered by the plan include rental cars, food and beverage services, gift shops, duty free sales, news stands, barbershops, hotels, banks, bookstores, travel agencies, and baggage carts.

Airports are prohibited from entering into long-term concession agreements which grant the exclusive right to operate a concession service, unless provision is made for adequate DBE participation.

Since each airport awards its own contracts, firms wishing to become certified as eligible DBE's are encouraged to make direct contact with individual airports. These airports will be able to advise firms on projected contracting and concession activities. A listing of all airports having a DBE program is available from:

FAA Headquarters, FAA Office of Civil Rights in Washington DC:

Fanny Rivera
Assistant Administrator
Office of Civil Rights (ACR-I)
Telephone: (202) 267-3254
David Micklin, External/Public
Program Specialist (ACR-4)
Telephone: (202) 267-3270
Federal Aviation Administration
800 Independence Avenue, S.W.
Washington, D.C. 20591



ACQUISITION MANAGEMENT SYSTEM (AMS)

When the President signed the 1996 Department of Transportation Appropriations Act on November 13, 1995, he enacted Public Law 104-50, Section 348 which directed the FAA to implement a new acquisition management system by April 1, 1996. This system is to provide more timely and cost effective acquisitions. With the enactment of this law the FAA is exempt from several procurement laws, some of which are the Federal Acquisition Regulation (FAR), Small Business Act, and the Brooks Act.

The new AMS emphasizes the use of competition, the use of commercial off the shelf products known as (COTS), and emphasizes a common sense approach to contracting using prudent business judgment. When appropriate individual procurements may be set aside for competition award among small business concerns.

Under the new AMS, FAA will continue vigorous outreach efforts to provide opportunities to Socially and Economically Disadvantaged Business (SEDB) concerns. Awards through the SEDB set-aside program will be accomplished on a competitive basis directly to firms who are certified 8(a) firms.

The FAA will be using a screening process to determine which offeror provides the best value. The Screening Information Request (SIR) will be used to obtain specific information from vendors such as documentation, presentation, proposal or bidding agreements. This process is flexible and allows for 3 types of screenings: 1. Qualification Screening, 2. Screening Information and 3. Request for Offerors. The SIR will contain key discriminators that will communicate to vendors our required qualifications.

Qualified Vendors Lists (QVL) may be established to obtain only those vendors who meet FAA's specific minimum requirements. This ensures that time spent by the FAA will be with those vendors who have the specified required product or services. Once this QVL is established the FAA may elect to solicit offers from those vendors on the QVL. The QVL will be evaluated and updated no less than on an annual basis.

Projects over \$50,000 will have a public announcement. The Commerce Business Daily will be considered but is no longer mandatory. Other selected means such as plan centers, newspapers, periodicals, and public postings may be considered. The bidders mailing list will no longer be active. Internet is one avenue for the FAA to use. Projects listed on the Internet can be accessed through our home page address at: <http://www.faa.gov/>



COMPARISON
FEDERAL ACQUISITION REGULATIONS (FAR)
AND
ACQUISITION MANAGEMENT SYSTEM (AMS)
May 29, 1996

FAR

1. CBD \$25,000
2. Stringent time requirements
3. Content requirements
4. Discussion restricted
5. Talk to one, talk to all
6. Award to lowest offer
7. Must consider all
8. Past performance not considered
9. Competition preferred method
10. 8(a) set aside sole source
11. Award to SBA
12. GSA mandatory
13. A/E FIRMR
14. No brand name or equal
15. Sealed bidding
16. Protest to GAO, GSBICA, or DOTBCA

AMS

- Public Announcement \$50,999 (Internet or other means.
- Flexible time requirement
- Content as appropriate
- Open dialog encouraged
- May talk to one, some, or all
- Award Best Value
- Flexible screening process, use Screening Information Request (SIR)
- Past performance always considered
- Competition preferred method, 2 or more (can be a phone call)
- Competitive SEDB (Socially & Economically Disadvantaged Business) 8(a) certified firms
- Award directly to contractor SBA provides 8(a) verification
- GSA when best value
- A/E flexible and faster
- Brand name, model #, acceptable
- Best Value
- FAA will resolve with ADR



FEDERAL HIGHWAY ADMINISTRATION

The Federal Highway Administration (FHWA) is responsible for administering the multi-billion dollar Federal-Aid Highway Program and for administering, jointly with the National Highway Traffic Safety Administration, State and community highway safety programs. Under the Federal-Aid Highway Program, FHWA provides financial assistance to State highway agencies for planning, designing, environmental assessments, constructing and rehabilitating the Interstate Highway System, other National Highway System projects, and those transportation related projects eligible for the Surface Transportation Program. Under the Federal-Aid program and State and community highway safety programs, individual States act as the contracting agencies responsible for the expenditure of most of the available funds.

Under the Federal Lands Highway Program and the Emergency Relief Program on Federally-Owned Roads, FHWA is responsible for working with Federal land-owning agencies to design, procure, and administer the construction or improvement of Federal roads. Under these programs, FHWA procures design and construction services and is responsible for the expenditure of available funds.

The FHWA is the recognized authority on highway construction technology and design. Much of its work contributes to advancements in the state-of-the-art in various technologies. Under the Nationally Coordinated Program of Highway Research, Development, and Technology, FHWA coordinates an extensive research, development, and technology transfer program. The coordinated program includes such major categories as safety, Intelligent Vehicle-Highway Systems (IVHS), pavements, structures, materials, policy, planning, environment and right-of-way, and motor carrier transportation. The research program endeavors to improve the quality and durability of highways and streets, reduce construction and maintenance costs, and reduce the negative impacts of highway transportation. The FHWA Technology Transfer Program, designed to encourage the application of new technology by highway agencies, uses contractors with marketing and training skills, as well as technical expertise, to present new technologies. Engineering disciplines involved in FHWA contracts include civil, mechanical, geotechnical, chemical, hydraulic, electrical, environmental, and human factors.

The FHWA is increasing its emphasis on improving traffic safety and reducing congestion through the application of advanced electronic, communications, and sensor techniques. The FHWA is contracting for IVHS operational tests to evaluate technologies and institutional arrangements which can provide user services to motorists and travelers in order to improve safety, air quality, energy conservation and mobility. Each year FHWA solicits for new IVHS operational tests. Additionally, FHWA is partnering with states and cities to undertake planning studies to assess applications of IVHS services and technologies on existing highway infrastructures. Most such tests and studies require consortia of transportation agencies, academic institutions, and private sector organizations to develop joint proposals for such undertakings. When circumstances warrant outside assistance in research work other than through contract agreements, FHWA may solicit participation through grants, cooperative agreements, and collaborative research agreements.

The FHWA responsibility to provide highway and motor carrier safety involves the research and administration of a wide variety of activities, ranging from accident investigation to highway design, improvement and use. The FHWA programs are designed to meet the increasing demands for solutions to urgent safety problems and providing new, longer-range initiatives in safety hardware, driver aids, traffic operations, and systems performance measurement. In addition, FHWA provides technical assistance and advice on highway engineering and administration to foreign nations through the Agency for International Development, the Export-Import Bank, and other international lending institutions.



Contracting authority is delegated to the Office of Contracts and Procurement in the Washington Headquarters and to the Eastern, Central, and Western Federal Lands Highway Division Offices. The Office of Contracts and Procurement awards all FHWA R&D contracts and all contracts for services and equipment in support of FHWA highway planning, research, training, and related support services. The Office of Contracts and Procurement procures supplies, materials, equipment, and professional services related to R&D, construction, and other program responsibilities. It also provides procurement services to the Office of Motor Carriers to support the safety and motor transportation mission.

The FHWA Federal Lands Highway Division Offices award contracts for survey, design, and construction of forest highways, park roads and parkways, Indian Reservation roads, Defense Access roads and other roadways that provide access to or within Federal lands. These contracts are awarded by the three division offices located in Sterling, Virginia; Denver, Colorado; and Vancouver, Washington.

Headquarters and Federal Lands Highway Division Offices

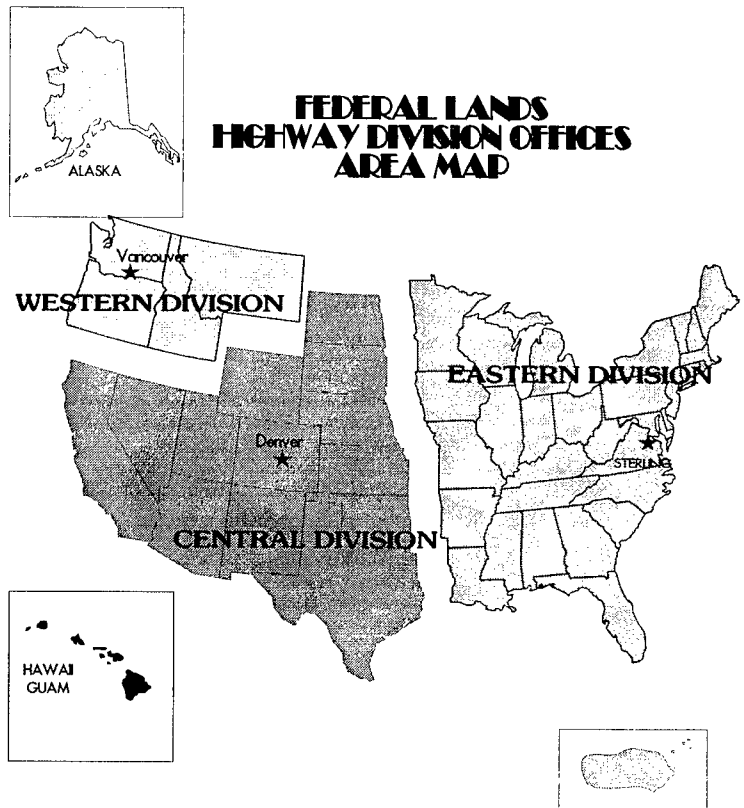
Federal Highway Administration
Office of Contracts and Procurement
Room 4410
400 Seventh Street, SW.
Washington, D.C. 20590
Ms. Debbie Ridgely
Telephone: (202) 366-4233
Ms. Donna McAleer, (202) 366-4270
4th Floor Bulletin Board, NE. Corner*

Federal Highway Administration
Central Federal Lands Highway Division
555 Zang Street
Lakewood, Colorado 80228
Mr. Craig Actis
Telephone: (303) 969-5937
Mr. Larry Corbell, (303) 969-5928 *
Bulletin Board, 4th Floor West End

Federal Highway Administration
Eastern Federal Lands Highway Division
21400 Ridgetop Circle
Sterling, Virginia 20166
Mr. Robert Sparrow
Telephone: (703) 285-0082
Ms. Beryl Deans, (703) 285-0010 *
Room 314 *

Federal Highway Administration
Western Federal Lands Highway Division
610 East Fifth Street
Vancouver, Washington 98661
Mr. Bill Parsons, Telephone (360) 696-7753
Mr. Lee Horrocks, (360) 696-7763 *

The geographical areas of responsibility for the three Federal Lands Highway Division Offices are shown below



VIRGIN ISLANDS
PUERTO RICO



Supportive Services Program

The FHWA DBE Supportive Services Program was developed to help increase DBE participation in Federal-aid highway contracts. Supportive Services activities, which can be performed either in-house or by consultants, is intended to help DBE's compete for contracts or subcontracting opportunities. The services include training, and on-site technical assistance, business management assistance, estimating assistance, and assistance in obtaining necessary financing and bonding. Supportive Service consultants maintain contact with minority organizations, contractors and their associations, and the State Highway DOT's. For additional information about this program, please contact your respective State's DBE Liaison Officer listed at the end of this section.

The FHWA has nine regional offices to provide technical assistance to the States and to provide the States with access to FHWA in administering highway-related issues in the Federal-Aid Highway Construction Program.

FHWA Regional Offices

Federal Highway Administration
Region One
Leo W. O'Brien Federal Building
Room 719
Clinton Avenue and North Pearl Street
Albany, New York 12207-2398
Telephone: (518) 431-4224, Ext. 247

Federal Highway Administration
Region Three
City Crescent Building
10 S. Howard Street, Suite 4000
Baltimore, Maryland 21201
Telephone: (410) 962-4030/0093

Federal Highway Administration
Region Four
Alabama St., S.W.
17th Floor
Atlanta, Georgia 30304-3104
Telephone: (404) 347-4078

Federal Highway Administration
Region Five
19900 Governors Highway
Olympia Fields, Illinois 60461-1021
Telephone: (708) 206-3206

Federal Highway Administration
Region Six
819 Taylor Street
Fort Worth, Texas 76102
Telephone: (817) 334-3741

Federal Highway Administration
Region Seven
6301 Rockhill Road
Kansas City, Missouri 64131
Telephone: (816) 926-7563

Federal Highway Administration
Region Eight
555 Zang Street, Room 400
Lakewood, Colorado 80228
Telephone: (303) 969-6722

Federal Highway Administration
Region Nine
201 Mission Street, Suite 2100
San Francisco, California 94105
Telephone: (415) 744-3114/2639/3102

Federal Highway Administration
Region Ten
KOIN Center, Suite 600
222 SW Columbia Street
Portland, Oregon 97201
Telephone: (503) 326-2053



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FEDERAL RAILROAD ADMINISTRATION

The Federal Railroad Administration (FRA) monitors the safety activities of the nation's railroads through regulations, compliance inspections, and accident investigations. Research includes safety improvement, freight and passenger vehicle systems, freight and passenger economics, and railroad management. From the Washington, D.C. offices, research contracts requiring engineering, economics, and management disciplines are awarded in such areas as vehicle aerodynamics and dynamics, safety systems, intermodal equipment, passenger safety and comfort, equipment utilization, and management information. A small number of ADP service contracts, along with supplies, office equipment and services are awarded.

The FRA procurement office is:

Federal Railroad Administration
Office of Procurement, (RAD-30)
1120 Vermont Ave., Rm.6126
Washington, D.C. 20005
Telephone: (202) 632-3126

The FRA Small Business Specialists are:

Miles S. Washington, Jr.
Director, Office of Civil Rights
(ROA-10)
Federal Railroad Administration
1120 Vermont Ave., Rm.6126
Washington, D.C. 20005
Telephone: (202) 632-3126

Ms. Elaine Duke
Director, Office of
Procurement Services (RAD-30)
1120 Vermont Ave., Rm.6126
Washington, D.C. 20005
Telephone: (202) 632-3126

Small purchases for the FRA are administered by:

Ms. Edna D. Vaughn, RAD-30
1120 Vermont Ave., Rm.6126
Room 8222
(202) 632-3126

The Mailing Address for FRA is:
400 7th Street, S.W.
Room 6126
Washington, D.C. 20590

Small purchase solicitations are posted on the FRA Bulletin Board, near Room 8240.

The FRA also makes Federal funds available to several railroads. For information regarding possible procurement opportunities with the railroads, you may contact Miles S. Washington, Jr. at the address shown above.



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FEDERAL TRANSIT ADMINISTRATION

The Federal Transit Administration (FTA) administers programs under the Federal Transit Act, as amended, that provide Federal financial assistance to states, local transit systems and planning agencies (grant recipients) for the development of efficient and coordinated mass transit systems throughout the nation. The program includes:

- Acquisition and improvement of facilities and equipment.
- Planning, engineering, and designing of mass transportation projects as part of a comprehensive development plan.
- Training of personnel employed in mass transit.
- Research and training in transportation problems.
- Research, development, and demonstration projects in all phases of mass transportation.
- Project management oversight.

Responsible for maximizing the participation of disadvantaged business enterprises, grant recipients offer a wide range of contracting and procurement opportunities to minority, women-owned and other disadvantaged firms in the areas of professional services, construction, equipment and supplies.

Using FTA funds, transit systems contract with transit vehicle manufacturers (TVM) to purchase vans, buses and railcars. In the manufacture of such vehicles, TVM's offer contracting opportunities to DBE equipment and components manufacturers and suppliers.

FTA makes its own purchases of professional services, supplies and equipment. Procurement for FTA is conducted by the Washington, D.C., Headquarters office.

Federal Transit Administration
Office of Procurement (TAD-40)
400 7th Street, S.W., Room 7405
Washington, D.C. 20590
Telephone: (202) 366-4980
Small Purchases: Ms. Dale C. M. Johnson

Small purchase solicitations are posted on the bulletin board in the corridor outside of Room 7405.

Information on FTA grants to state and local transit agencies and listings of these grant recipients' and TVM DBE liaison officers are available from FTA's Office of Civil Rights by contacting:

Mr. Arthur Lopez
Acting Director, Office of Civil Rights
Federal Transit Administration
400 7th Street, S.W., Room 7412
Washington, D.C., 20590
Telephone: (202) 366-4018

Ms. Geraldine Head,
OSDBU Liaison Officer
FTA Office of Civil Rights
400 7th Street, S.W., Room 7412, TCR-5
Washington, DC 20590
Telephone: (202) 366-0796



Data regarding FTA grants made to specific local transit agencies can be obtained from the following FTA regional offices:

FTA Regional Offices

<i>Region</i>	<i>Regional Administrator</i>	<i>Address</i>	<i>Telephone</i>
MA, ME, NH, RI, VT, CT, (except Fairfield Co.)	Richard H. Doyle	Transportation Sys Ctr. Kendall Square Broadway, Suite 921 Cambridge, MA 02142	(617) 494-2055
NJ, NY, CT(Fairfield County)	Thomas J. Ryan	26 Federal Plaza Suite 2940 New York, NY 10278	(212) 264-8162
DC, DE, MD, PA,VA, WV	Sheldon A. Kinbar	1760 Market St. Suite 500 Philadelphia, PA 19103	(215) 656-6900
AL, FL, GA, KY, MS, NC, PR, SC, TN	Susan E. Schruth	1720 Peachtree Rd. NW Suite 400 Atlanta, GA 30309	(404) 347-3948
IL, IN, MI, MN, OH, WI	Joel P. Ettinger	55 East Monroe St. Room 1415 Chicago,IL 60603	(312) 353-2789
AR, LA, NM, OK, TX	Wilbur E. Hare	524 E. Lamar Blvd. Suite 175 Arlington, TX 76011	(817) 860-9663
IA, KS, MO, NE	Lee O. Waddleton	6301 Rockhill Rd. Suite 303 Kansas City, MO 64131	(816) 523-0204
CO, MT, ND, SD, UT, WY, AZ, NV	Louis F. Mraz, Jr.	Columbine Place Bldg. 216 16th St. Suite 650 Denver, CO 80202	(303) 844-3242
CA, HI	Leslie Rodgers(acting)	201 Mission St. Suite 650 San Francisco, CA 94105	(415) 744-3133
AK, ID, OR, WA	Helen Knoll	Jackson Federal Bldg. 915 2nd Ave. Seattle, WA 98174-1002	(206) 220-7954



MARITIME ADMINISTRATION

The Maritime Administration (MARAD) is responsible for promoting, developing, and maintaining a U.S. Merchant Marine capable of meeting the nation's shipping needs for both domestic and foreign commerce and the national security. MARAD assists the maritime community in the areas of ship design and construction, development of advanced transportation systems and promotion of the use of U.S. flag vessels.

In administering provisions of the Merchant Marine Act of 1970, MARAD actively engages in such key maritime areas as financial assistance, operations, commercial development, and manpower development. MARAD also operates the U.S. Merchant Marine Academy at Kings Point, New York. In addition, MARAD maintains a National Defense Reserve Fleet of merchant ships in three anchorages in the U.S.: James River, Virginia; Beaumont, Texas; Suisun Bay, California; and at various outport locations throughout the continental United States.

The Maritime Administration has contracting requirements for administrative and operational needs at Washington Headquarters, three Regional offices, the U.S. Merchant Marine Academy, and three reserve fleet sites. The Maritime Administration also has requirements for repair of Government-owned vessels under its control. These repair requirements generally require the bidder to be a holder of, or agree to the terms and conditions of, MARAD's Master Lump Sum Repair Agreement (MLSRA). Interested applicants are required to provide information to prove active engagement in the business of domestic ship repair, alteration, conversion, reconversion of or additions to ships. Information relative to applications are periodically published in the "Commerce Business Daily" or may be obtained by contacting the Washington office. Information may be obtained directly from the U.S. Merchant Marine Academy concerning its requirements; individual ship repair and towing requirements information may be obtained from the appropriate regional Contracting Officer; inquiries on other requirements should be directed to the Washington office. Each contracting office maintains its own file of Solicitation Mailing List Applications (SF 129); applicants should transmit a copy to each office of interest.

Maritime Administration
Headquarters Office
400 7th Street, S.W.
Washington, D.C. 20590
Attn.: Office of Acquisition MAR-380
(202) 366-2802, Rita C. Thomas Room 7310 *

Maritime Administration
U.S. Merchant Marine Academy
Kings Point, New York 11024-1699
Attn.: Procurement Department
Furuset Hall, Room 212 *
(516) 773-5258 Frank Todesco *

Maritime Administration
Western Region Headquarters
201 Mission Street, Suite 2200
San Francisco, CA 94105
Clifford Whitfield, (415) 744-2924

Maritime Administration
South Atlantic Region
Building 4D, Room 211 *
7737 Hampton Blvd
Norfolk, VA 23505
(804) 441-6393, Judy Bosnengo *

Maritime Administration
Central Region Headquarters
365 Canal Street, Suite 2590
New Orleans, LA 70130-1137
Thomas Bostic, (504) 589-6583 *

*For information regarding small purchases and locations where small purchases are posted.



Listed below are the supplies and services acquired by all of the Maritime Administration offices, except as noted:

General Industrial Buildings and Warehouses	Food Services
Magnesium Anodes	Cleaning and Maintenance **
Electric Cable	Prepackaged Computer Software **
Wire Rope	Computer Processing **
Pumps and Pumping Equipment	Data Preparation Services **
Motors and Generators	Marine Research and Development/Maritime Industry
Ship Repairing	Economic and Market Studies
Boat Building and Repairing	Architectural/Marine Engineering Services **
Tugboat Towing Services	

Questions related to the administration of small business programs may be directed to the Headquarters representative; specific inquiries related to procurements of an individual field office should be directed to the field SADBUs.

Small and Disadvantaged Business Utilization Representatives (SADBU):

Headquarters	Rita C. Thomas	(202) 366-2802
Western Region	Melvin L. Long	(415) 744-2574
Central Region	Thomas R. Bostic	(504) 589-6583
S. Atlantic Region	Judy Bosnengo	(804) 441-6393
Merchant Marine Academy	James D. Amoroso	(516) 773-5375

** Washington DC office only.



NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

The National Highway Traffic Safety Administration (NHTSA) was established by the Highway Safety Act of 1970 as the successor to the National Highway Safety Bureau, to carry out safety programs under the National Traffic and Motor Vehicle Safety Act of 1966 and the Highway Safety Act of 1966. NHTSA also carries out consumer programs established by the Motor Vehicle Information and Coast Savings Act, as amended.

NHTSA's mandate is to reduce deaths, injuries, and economic losses resulting from motor vehicle crashes. This is accomplished by setting and enforcing safety performance standards for motor vehicles, and through grants to state and local governments to enable them to organize, develop, and implement their highway safety programs more effectively.

NHTSA investigates safety defects in motor vehicles, sets and enforces fuel economy standards, provides leadership to the states and local communities to reduce the threat of drunk drivers, promotes the use of safety belts, child safety seats and automatic protection, investigates odometer fraud, establishes and enforces vehicle theft regulations, and provides consumer information on motor vehicle safety and the crash worthiness of new cars.

NHTSA also conducts research on driver behavior and traffic safety, and develops the most efficient and effective means of bringing about safety improvements.

NHTSA procures research, development, test and evaluation services aimed at establishing safety standards for motor vehicles in interstate commerce, reducing accidents involving motor vehicles and reducing the deaths and injuries occurring in such accidents.

NHTSA contracts with private industry, educational institutions, and nonprofit organizations for studies involving crash protection, crash avoidance, and crash survivability characteristics of vehicles, and for the test and evaluation of vehicle components and accessories.

All NHTSA procurement activities are administered by its Washington, D.C. headquarters:

National Highway Traffic Safety
Administration
Office of Contracts and
Procurement (NAD-30)
400 7th Street, SW, Room 5301
Washington, D.C. 20590
Telephone: (202) 366-0607

Small Purchase solicitations are posted in Room
5301.

Small purchases for NHTSA are administered by:

Ms. Margaret Bryant, NAD-30
Contracting Officer
400 7th Street, S.W.
Room 5301
Washington, D.C. 20590
(202) 366-9887



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RESEARCH and SPECIAL PROGRAMS ADMINISTRATION

The Research and Special Programs Administration (RSPA) has the responsibility to plan, develop, initiate, and manage programs in all fields of transportation research and development. Particular efforts are made on transportation systems problems, advanced transportation concepts, and on multi-modal transportation. RSPA also develops and maintains vital statistics and a related transportation information data base.

RSPA is composed of the Office of Hazardous Materials Safety, the Office of Pipeline Safety and the Office of Research, Technology and Analysis which is composed in part by the Volpe National Transportation Systems Center, the Office of Emergency Transportation and the Transportation Safety Institute.

The Volpe National Transportation Systems Center, located in Cambridge, Massachusetts, is the Department's multimodal research facility. The Volpe Center develops integrated system approaches to critical transportation issues, particularly those which cut across multiple modes of transportation. The Center does not receive funding via "line-items" in the federal budget - rather it is funded entirely by its customers. Customers include the Department of Transportation and other government departments and agencies. The Volpe Center serves as a bridge between federal, state, and local levels of government and private industry and academia. The Volpe Center is structured to encourage creative exchanges that lead to innovative and cross-disciplinary solutions to complex transportation problems.

The Transportation Safety Institute designs and conducts training programs responsive to the requirements of Government and industry as expressed by the Operating Administrations of the Department.

One of RSPA's most important responsibilities is to assure the continued smooth operation of the nation's civil transportation system in the event of an emergency, including preventing service disruptions caused by national disasters or man-made crises, and facilitation of transportation in support of mobilization. This program, conducted by RSPA's Office of Emergency Transportation, includes the development and implementation of plans and procedures covering the entire spectrum of emergency preparedness.

The Office of University Research and Education provides a central point of contact for the Department with the academic community. Its purpose is to stimulate broad-based university attention to a wide range of transportation issues and problems of intermediate and long term nature. For information on this program, contact Elaine E. Joost, Director, on (202) 366-5442.

The RSPA procurement offices are:

Research and Special Programs Administration
Office of Management & Administration
Contracts and Procurement Division, DMA-30
400 7th Street, S.W., Room 8321
Washington, D.C. 20590
Telephone: (202) 366-5180

RSPA/Volpe Transportation Systems Center
Acquisition Division, DTS-852
Kendall Square
Cambridge, MA 02142
Telephone: (617) 494-2593



Small purchases for RSPA are administered by:

Mr. Keith O'Neil
Research and Special Programs Administration
Office of Management and Administration
Contracts and Procurement Division, DMA-30
400 7th Street SW, Room 8321
Washington, DC 20590
Telephone: (202) 366-5513

Mr. Orrin Cook, DTS-852
RSPA/Volpe National Transportation Systems Center
Building #4, Room 2105
Kendall Square
Cambridge, Ma 02142
Telephone: (617) 494-2593

SMALL PURCHASE SOLICITATIONS ARE POSTED
ROOM 2105, BUILDING 4 OF THE VOLPE
TRANSPORTATION SYSTEMS CENTER.

NATIONAL TRANSPORTATION SYSTEMS CENTER

Transportation Safety Institute
P.O. Box 25082
Attn.: DTI-10
Oklahoma City, OK 73125-5050
Telephone: (405) 954-3153
Small Purchases: Ms Judy I. Richey
Telephone: (405) 954-3159

The Small and Disadvantaged Business Utilization
Liaison Officer at RSPA/Volpe Center is:

RSPA/Volpe National Transportation Systems Center,
DTS-853
Mary Vitiello, Room 252
Kendall Square
Cambridge, MA 02142
Telephone: (617) 494-2389



UNITED STATES COAST GUARD

The U.S. Coast Guard (USCG) enforces Federal laws on the high seas and U.S. navigable waters, including the U.S. fisheries laws. It performs search and rescue missions, administers the merchant marine safety program, directs boating safety, maintains maritime navigation aids, performs oceanographic research, conducts meteorology and polar operations, regulates pilotage on the Great Lakes, and enforces pollution control. In addition, the Coast Guard, in its role as a military service, maintains a reserve to augment its ranks during wars or national emergencies.

Supplies, equipment and services are procured by Coast Guard Headquarters in Washington, D.C.; two Regional Maintenance and Logistics Commands (MLC) located at Alameda, California, and Norfolk, VA ; two Facilities Design and Construction Centers in Norfolk, Virginia, and Seattle, Washington; six Civil Engineering Units located at Miami, Florida; Cleveland, Ohio; Providence, Rhode Island; Oakland, California; Honolulu, Hawaii and Juneau, Alaska; the Coast Guard Aircraft Repair and Supply Center in Elizabeth City, North Carolina; the Engineering Logistics Center, Baltimore, MD; the Coast Guard Academy in New London, Connecticut; two Coast Guard Training Centers located in Cape May, New Jersey, and Petaluma, California; the Coast Guard Reserve Training Center in Yorktown, Virginia; the Coast Guard Aviation Training Center in Mobile, Alabama; and the Coast Guard National Pollution Funds Center in Arlington, Virginia.

In addition to the locations identified above, the Coast Guard has simplified acquisition procedures offices located at Headquarters, the MLCs, Integrated Support Commands (ISC), and various other smaller units located throughout the world.

The MLC's are responsible for providing the required support to districts in executing Coast Guard missions. They also provide support for all Headquarters units in their geographical areas. Three divisions within the MLC contain procurement activities: the Vessel Technical Support Division, the Shore Technical Support Division (of which the Facilities Design and Construction Centers are a part), and the Finance Division. The MLCs contract for navigational aids such as buoys, for the repair and replacement of parts on ships, for the modification of existing vessel equipment to meet new requirements, for the clean-up of oil pollution on rivers and oceans, for the safe disposal of hazardous waste material, for medical equipment and services, and for the construction services needed to support Coast Guard operating units.

As a member of the Armed Forces, the Coast Guard also programs a significant portion of its procurement through the Department of Defense.

The Small Business Program Officer is located at Coast Guard Headquarters (G-CPM-S/I) with collocated Small Business Specialists (SBS) at Headquarters and at each MLC. There are also several designated Small Business Specialists and Assistant Small Business Specialist (ASBS).

Small businesses are advised to first contact the SBS or ASBS in specific procurement offices. If there are further questions about the program, then contact the Small Business Program Manager (See Procurement Management Division).



COAST GUARD HEADQUARTERS

Procurement Management Division (G-CPM)

Note: This is not a buying activity. Small Business policy is handled in this office.

Ms. Dani Wildason (G-CPM-S/1)
Small Business Program Manager
2100 Second Street, SW
Rm. 2606
Washington, DC 20593-0001
Telephone (202) 267-1154

OFFICE OF ACQUISITION (G-ACS)

Procurement Office Addresses

Commandant (G-ACS)
U.S. Coast Guard Headquarters
Room 5208
2100 2nd Street, S.W.
Washington, DC 20593-0001
Wendi Smith
Small Business Specialist (SBS), Room 5208
Telephone: (202) 267-2499
Ms. Monica Swann, G-ACS
Asst. SBS, Room 5208
Telephone:(202) 267-2930

Items Procured

Aircraft, Vessels, Educational Services, major electronics equipment, medical equipment and services, and all equipment and supplies to outfit new vessels and aircraft, with emphasis in oceanography and other marine sciences, including pollution control and abatement.

COAST GUARD ACADEMY

Procurement Office Addresses

Superintendent (f)
U.S. Coast Guard Academy
15 Mohegan Ave.
New London, CT 06320-4195
Ms. Joy Simmons, Chief of Procurement
Telephone: (860) 437-6730
Mr. Forbes Cummings, SBS
Telephone:(860) 444-8479

Items Procured

Special Studies and Analyses, Utilities, Housekeeping Services (custodial, laundry, food services), Transportation, Research and Development, Education, Maintenance, Repair or Alteration of Real Property, Lease or Rental of Facilities, Environment Supplies and Equipment (water pollution)



ENGINEERING LOGISTICS CENTER

Procurement Office Addresses

Commanding Officer
U.S. Coast Guard ELC
2401 Hawkins Pt. Rd
Code 043.
Baltimore, MD 21226-5000
Ms. Sue White, Chief of Procurement
Telephone: (410) 762-6407
Ms. Corrine Sherman, SBS
Telephone: (410) 762-6442

Items Procured

Electrical Equipment (switches, fuses, micro-circuits, relays, cords) Ropes, Cables, Chains and Fittings, Supplies and Services, Medical/Dental Equipment, Instruments and Laboratory Equipment, Lighting Fixtures and Lamps, Ordnance (arms, ammunition), Deck Machinery, Fuel, Fuel Oils Miscellaneous Engines and Components, Diesel Engines and Components, Custodial and Janitorial Services, Power and Hand Pumps, Pipe, Tubing, Hose and Fittings, Valves, Gasses (compressed and liquefied), Electrical Motors

AIRCRAFT REPAIR and SUPPLY CENTER

Procurement Office Addresses

Commanding Officer
U.S. Coast Guard
Aircraft Repair & Supply Center
Building 63
Elizabeth City, NC 27909-5001
Mr. Gus Holzmiller, Chief of Procurement
Telephone: (919) 335-6436
CPO Robert Brown, SBS
Telephone: (919) 335-6169

Items Procured

Aircraft Parts, Ground Servicing Equipment, Fuel, Fuel Oils, Utilities, Engines, Turbines and Components, Engine Accessories, Maintenance and Repair, ADP Services

MAINTENANCE and LOGISTICS COMMANDS - Technical Support Division (Vessel)

Procurement Office Addresses

Commander (vpl)
U.S. Coast Guard Maintenance and Logistics Command (Atlantic)
300 E. Main St.; Suite 875
Norfolk, VA 23510-9107
Mr. John J. Shivickas, Chief of Procurement
Telephone: (757) 628-4631
Mr. Larry Mellor (f), Small Business Specialist
Telephone: (757) 628-4102

Items Procured

Dockside Repair, Engine Overhaul, Spare Parts for Vessels, Construction, Ship Repair, Dry-docking of New Vessels

Procurement Office Addresses

Commander (vpl)
U S Coast Guard Maintenance and Logistics Command (Pacific)
Coast Guard Island--Building 50-7
Alameda, CA 94501-5100
Mr. John Porter, Chief of Procurement and SBS
Telephone: (510) 437-3391

Items Procured

Dockside Repair, Engine Overhaul, Spare Parts for Vessels, Construction, Ship Repair, Dry-docking of New Vessels



THE FINANCE DIVISIONS

Procurement Office Addresses

Commander (fcp)
U.S. Coast Guard Maintenance and
Logistics Command (Atlantic)
300 E. Main St., Suite 875
Norfolk, VA 23510-9107
Mr. Ray Hayden, Chief of Procurement
Telephone: (757) 628-4105
Mr. Peter Frechette, SBS
Telephone: (757) 628-4103

Items Procured

ADP, Housekeeping, Ground Effect Vehicles, Food
Services, Supplies and Services, Medical/
Dental Supplies and Equipment, Security Services,
Janitorial Services.

Procurement Office Addresses

Commander (fcp)
U.S. Coast Guard Maintenance and
Logistics Command (Pacific)
Coast Guard Island--Building 54A
Alameda, CA 94501-5100
Ms. Pat Walker, Chief of Procurement
Telephone: (510) 437-3684
Ms. Dee Morrison, SBS
Telephone: (510) 437-3727

Items Procured

ADP, Housekeeping, Ground Effect Vehicles,
Supplies and Services, Medical/Dental Supplies
and Equipment.

FACILITIES DESIGN and CONSTRUCTION CENTERS

Procurement Office Addresses

Commanding Officer
U. S. Coast Guard Facilities Design
and Construction Center - Atlantic
5505 Robin Hood Road, Suite K
Norfolk, VA 23513-2400
Mr. Bob Bishop, Chief of Contracting
Telephone: (757) 858-6238
Mr. Peter Frechette, -SBS
Telephone: (757) 628-4103

Items Procured

Major Construction Projects: Building, Structures,
Houses, Warehouses, Schools, Building
Alterations, A&E Services.

Procurement Office Addresses

Commanding Officer
U.S. Coast Guard Facilities Design
and Construction Center-Pacific
915 2nd Avenue, Room 2664
Seattle, Washington 98174-1011
Mr. Don Robertson, Chief of Procurement
Telephone: (206) 220-7420
Ms. Teresa A. Corse, Assistant SBS
Telephone: (206) 220-7426

Items Procured

Major Construction Projects: Buildings, Structures,
Houses, Warehouses, Schools, Building
Alterations, A&E Services



CIVIL ENGINEERING UNITS

Atlantic Area (Mr. Peter Frechette, SBS Telephone: (757) 628-4103)

Commanding Officer
Civil Engineering Unit, Cleveland
1240 East 9th Street, Room 2179
Cleveland, Ohio 44199-2060
Ms. Nancy Thomas,
Telephone: (216) 902-6215
Chief of Contracting and Asst. SBS

Commanding Officer
Civil Engineering Unit, Providence
Landmark Center, Suite 200
Warwick, Rhode Island 02886
Ms Mary Herman, Contracting Officer
Telephone: (401) 736-1760
Chief of Contracting and Asst. SBS

Commanding Officer
Civil Engineering Unit, Miami
Brickell Plaza Federal Bldg, Rm 65
909 SE 1st Avenue
Miami, Florida 33131-3050
Ms. Pat Lambert
Telephone; (305) 278-6720
Chief of Contracting and Asst. SBS

Pacific Area (Ms. Dee Morrison, Procurement & SBS Telephone: (510) 437-3727)

Commanding Officer
Civil Engineering Unit, Oakland
2000 Embarcadero, Suite 200
Oakland, California 94606-5000
Mr. Bill Obershaw
Telephone: (510) 535-7236
Chief of Contracting and Asst. SBS

Commanding Officer
Civil Engineering Unit, Honolulu
PJKK Federal Bldg
300 Ala Moana Blvd., Rm 8122
Honolulu, Hawaii 96850-4982
Ms. Bonnie Hoe
Telephone: (808) 541-2158
Chief of Contracting and Asst. SBS

Commanding Officer
Civil Engineering Unit, Juneau
P.O. Box 21747
Juneau, Alaska 99802-1747
Ms. Eva Claveau
Telephone: (907) 463-2414
Chief of Contracting and Asst. SBS



COAST GUARD SIMPLIFIED ACQUISITION PROCEDURE OFFICES

The Coast Guard offices listed below award at different thresholds, but **no more than \$100,000**. The solicitation/bid boards are located at or near the rooms provided in each of the addresses below:

(G-HSCa3)
U.S. Coast Guard Headquarters
2100 2nd Street, S.W., Room B411
Washington, D.C. 20593-0001
Ms. Natika George
Telephone: (202) 267-1574

National Pollution Funds Center
4200 Wilson Blvd., Suite 1000
Arlington, VA 22203
LT. Sam Short
Telephone: (703) 235-4725

Commanding Officer (fp)
USCG ISC, Boston
427 Commercial St.
Boston, Massachusetts 02109
Deborah Persson
Telephone: (617) 223-3158

Commanding Officer (fp)
USCG ISC, St. Louis
1222 Spruce Street, Room 2.102B.
St. Louis, Missouri 63103-2382
Ms. Jane Indihar
Telephone: (314) 539-3900, Ext. 372

Commanding Officer (fp)
USCG ISC, Portsmouth
Comptroller
4000 Coast Guard Blvd.
Portsmouth, Virginia 23703
Ms. Louise Griffin
Telephone: (757) 483-8563

Commanding Officer (fp)
USCG ISC, Miami
909 SE 1st Avenue
Brickell Plaza Federal Bldg., Room 512
Miami, Florida 33131-3050
Ms. Patricia Rodriguez
Telephone: (305) 536-5559

Commanding Officer(fp)
USCG ISC, New Orleans
4640 Urquhart St.
New Orleans, Louisiana 70117-4698
Ms. Carmen Ziolkovski
Telephone: (504) 942-4135

Commanding Officer(fp)
USCG ISC, Cleveland
1240 East 9th Street, Room 2117
Cleveland, Ohio 44199-2060
Ms. Maxine Badley
Telephone: (216) 902-6373

Commanding Officer(fp)
USCG ISC, San Pedro
1001 Seaside Ave.
San Pedro, California 90731
Mr. Sean Silva
Telephone: (316)514-6408



SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

The Saint Lawrence Seaway Development Corporation (SLSDC) is a wholly government-owned enterprise responsible for the construction, development, operation, and maintenance of that part of the Seaway within the territorial limits of the United States.

The Seaway Corporation procures various types of lock operating equipment, navigation aids, heavy construction equipment, and maintenance parts and materials.

Procurements also include professional services, research projects, construction, development, testing, and demonstration projects and studies.

A firm interested in selling to SLSDC should direct its inquiries to:

Saint Lawrence Seaway Development Corporation
Linda Harding, Contracting Officer
180 Andrews Street
Post Office Box 520
Massena, New York 13662-0520
Telephone: (315) 764-3244

Miss Nancy J. Seger is the Purchasing Agent in charge of small purchases. Her telephone number is (315) 764-3267.



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BUREAU OF TRANSPORTATION STATISTICS

The Bureau of Transportation Statistics (BTS) procures a wide variety of equipment and services to support each of BTS's six missions. These missions are: (1) compile and analyze, and publish a comprehensive set of transportation statistics; (2) establish and implement a long term program for the collection and analysis of data relating to performance of the national transportation system; (3) issue guidelines for the collection of information by the DOT; (4) coordinate collection of information by the DOT with related information gathering activities conducted by other federal agencies; (5) make published statistics readily accessible; and (6) identify information that is needed, but which is not being collected, and make recommendations concerning research programs to provide such information.

Economic and management analyses are procured to support local, national, and international transportation statistics related topics such as the Commodity Flow Survey and the American Travel Survey. BTS procures Federal Information Processing resources to support all of its missions. Services and supplies include but are not limited to, software/hardware procurement; associated maintenance renewals; data base programming; local economic and travel pattern analysis; product development; and product distribution.

Small purchases for BTS are administered by OST/TASC, but are generated and managed by the following BTS staff:

Mr. Walter S. Manning
Chief Engineer, K-10
400 Seventh Street, S.W., Room 3430
Washington, DC 20590
Telephone: (202) 366-9259
Fax: (202) 366-3640

For additional information regarding BTS procurement activities, please contact:

Ms. Lorelei S. Evans
Administrative Officer, K-3
400 Seventh Street, S.W., Room 3430
Washington, DC 20590
Telephone: (202) 366-1794
Fax: (202) 366-3640



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SURFACE TRANSPORTATION BOARD

The Surface Transportation Board was established January 1, 1996, by the ICC Termination Act of 1995 (ICCTA). The Board is a three member, bipartisan, decisionally independent, adjudicatory body with jurisdiction over certain surface transportation economic regulatory matters. The Board's mission is to ensure that the regulatory oversight of surface transportation economic matters is exercised efficiently and effectively, and that market forces are integrated into the regulatory environment whenever possible. The Board's primary goal is to facilitate commerce by providing an effective forum for dispute resolution and facilitation of appropriate business transactions. Issues brought before the Board are resolved fairly and expeditiously through use of its regulatory exemption authority, streamlined decision making process, and consistent application of legal and equitable principles. STB procures office supplies and services, subscriptions, administrative equipment rentals and services, and limited network and personal computer peripherals and software in support of its mission

Copies of potential requirements, with an expected value between \$10,000 and the small purchase limitation, are posted on the bulletin board in the corridor next to room 5106.

Small purchases for STB are administered by:

Mr. Dan Telep
Contracting Officer/ Simplified Acquisitions
Acquisition Services, SVC-180
400 7th Street, S.W., Room 5106
Washington, D.C. 20590
Telephone: (202) 366-6699
Fax: (202) 366-9848

For additional information regarding STB procurement activities, please contact:

Ms. Cynthia Blackmon
Contracting Officer/ Simplified Acquisitions
Acquisition Services, SVC-180
400 7th Street, SW, Room 5106
Washington, DC 20590
Telephone: (202) 366-4968
Fax: (202) 366-9848

*OST/TASC SVC-180 provides contract support for STB.

*Acquisition services information is available @www.dot.gov.



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OFFICE OF THE SECRETARY and TRANSPORTATION ADMINISTRATIVE SERVICE CENTER

The Transportation Administrative Service Center (TASC) office supports the Office of the Secretary (OST) which includes a wide variety of services and equipment. Economic and management analyses are procured to support local, national and international transportation related topics such as commercial space transportation. OST/TASC procures Federal Information Processing (FIP) resources to support the transportation computer center (TCC) which is a government owned contractor operated facility. The TCC provides support to the DOT nation-wide. Services and supplies include, but are not limited to, software/hardware procurement (lease and/or purchase); associated maintenance renewals; programing; and network and database management. In addition, OST/TASC procures services and supplies to support the DOT's telecommunication requirements. OST/TASC also procures the following: drug testing and collection services; facilities management support for the DOT mailroom, warehouse; operation of the parking garages; guard services; training course; temporary personnel support; investigative support services; and graphic support services for all DOT requirements. The DOT's ITOP Program is operated out of this office.

Copies of potential requirements, with an expected value between \$10,000 and the small purchase limitation, are posted on the bulletin board in the corridor next to room 5106.

Small purchases for OST/TASC are administered by:

Mr. Dan Telep
Contracting Officer/ Simplified Acquisitions
Acquisition Services, SVC-180
400 7th Street, S.W., Room 5106
Washington, D.C. 20590
Telephone: (202) 366-6699
Fax: (202) 366-9848

For additional information regarding OST/TASC procurement activities, please contact:

Ms. Cynthia Blackmon
Contracting Officer/ Simplified Acquisitions
Acquisition Services, SVC-180
400 7th Street, SW, Room 5106
Washington, DC 20590
Telephone: (202) 366-4968
Fax: (202) 366-9848

* Acquisition services information is available @www.dot.gov.



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OFFICE OF SMALL & DISADVANTAGED BUSINESS UTILIZATION (OSDBU)

Introduction

The Department has established the Office of Small and Disadvantaged Business Utilization (OSDBU) in accordance with Public Law 95-507, an amendment to the Small Business Act and the Small Business Investment Act of 1958. This office is responsible for implementing and monitoring the Department's goals for small and disadvantaged businesses. Under the OSDBU is the Minority Business Resource Center (MBRC).

DOT's Small and Disadvantaged Business Program is designed to ensure that all small businesses, including minority and women-owned firms, have an equitable opportunity to participate in DOT's procurement programs, and that they do in fact receive a fair share of the resulting contract awards. The status of a business entity as "small" is determined by the criteria established for each industry by the Small Business Administration. Size standards are published in the regulation of the Small Business Administration (Title 13, CFR Part 121).

In keeping with national policy, DOT works closely with the Department of Commerce, Minority Business Development Agency on minority business matters and with the SBA in assisting small firms owned and controlled by socially and economically disadvantaged individuals. Economically or socially disadvantaged individuals for government procurement purposes include Black Americans, Hispanic Americans, Native Americans, (American Indians, Eskimos, Aleuts, or Native Hawaiians); Asian Pacific Americans (persons with origins from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, U.S. Trust Territory of the Pacific Islands, Northern Mariana Islands, Laos, Cambodia, or Taiwan); Asian Indian Americans (persons with origins from India, Pakistan or Bangladesh); and members of other groups designated from time to time by the SBA under 13 CFR 124.105(d).

To assist firms whose resources and finances may be limited, the Office of Small and Disadvantaged Business Utilization may be contacted by calling, toll free, 1-800-532-1169.

OSDBU Program - Overview

The OSDBU is responsible for the development and implementation of an effective program of activities directed at ensuring minority, women-owned and small and disadvantaged business participation in the Department's direct procurement and Federal financial assistance activities.

The OSDBU monitors all Department of Transportation procurement activities that involve the participation of minority, disadvantaged, women and small business entrepreneurs, including the goal setting and procurement practices of DOT financial assistance recipients; namely, state and local transportation agencies. It also negotiates direct procurement goals with all DOT Operating Administrations and the Small Business Administration. Mediating and resolving sensitive procurement related issues are also a function of the OSDBU.

The OSDBU serves an important function in assisting firms in their marketing of the Department and all of its Operating Administrations. To this end, the OSDBU sponsors marketing presentations designed to assist the minority, disadvantaged and women business communities in marketing their firms to DOT. The program is designed to assist firms located outside the Washington metropolitan area, whose representatives have limited time during their marketing visits to the Department. Approximately every six weeks, firms are invited to the DOT headquarters to present their capabilities to procurement and program staff from all Operating Administrations. As a result of the presentations, some firms have been able to identify specific procurement opportunities on which to submit bids.

Marketing advice by the OSDBU also includes counseling firms on procedures for doing business with DOT and inclusion on the bidder's mailing lists and general information on types of business opportunities available at the Department.



The OSDBU activities include:

- Procurement Preference Goals Program
- SBA 8(a) Program
- Small Business Set-aside Program
- Subcontracting Program
- Small Business Innovation Research (SBIR) Program
- Women Business Enterprise Program
- Minority Enterprise Development (MED) Week Program
- Marketing Presentation Program
- Research and Research & Development Goaling Program
- Annual Minority Business Development Program (MBDA-91)
- Advanced Procurement Planning (PL 100-656/Section 501)
- Conference Coordination Assist SBA/PCR in analyzing procurements for 8(a) & Small Business Set-asides
- Small Business Competitiveness Demonstration Program
- Review/Comment/Implement Procurement Policies and Legislation
- Assist Firms on Prompt Payment Act Requirements and Rural Area Business Enterprise Development Plan
- Counseling Businesses
- Mediating and Resolving Sensitive Procurement Related Issues
- Financial Assistance Program - DBE participation in federally assisted procurements of state and local transportation agencies.

Minority Business Resource Center (MBRC)

DOT is authorized under Subchapter 11 of the DOT Act, 49 U.S.C. 332, Public Law 97-449, to design and carry out programs to encourage, promote, and assist Small and Disadvantaged Business Enterprises (DBE) to obtain and manage transportation-related contracts, subcontracts, and projects. The OSDBU/MBRC administers two financial assistance programs which provide assistance in obtaining short-term working capital and bonding for Minority Business Enterprises (MBE), women business Enterprises (WBE) and Disadvantaged Business Enterprises (DBE). The OSDBU/MBRC Short Term Lending Program enables MBE/WBE/DBE to obtain short-term working capital for transportation-related projects at prime interest rates.

The OSDBU/MBRC Bonding Assistance Program provides an opportunity for MBE/WBE/DBEs to obtain bid, performance, and payment bonds for transportation-related contracts. Up to \$1,000,000, bond readiness reviews are provided for firms seeking to bid on DOT contracts.

Both programs have the same basic eligibility requirements. These are: (1) the applicant must hold a current, valid certification as a DBE, MBE, or WBE from an agency applying DOT certification requirements or be 8(a) certified by the SBA and, (2) the firm must possess a transportation or is seeking a transportation related contract which supports the application.

Firms may consider utilizing the services of the U.S. Department of Commerce Minority Business Development Centers (MBDC), SBA Small Business Development Centers (SBDCs) or State Supportive Services Contractors as possible sources for assistance and guidance in preparing a loan and bond application package. The program will also accept packages developed by private resources and organizations.

The OSDBU/MBRC Short Term Lending Program is administered under Cooperative Agreements between the DOT and minority-owned banks. The DOT Bonding Assistance Program is operated as a Pilot Program with local agents.



Liaison Outreach and Services Program (LOSP)

The OSDBU has entered into Cooperative Agreements with a number of chambers of commerce and trade associations to provide liaison services between the DOT, its grantees, recipients, contractors, subcontractors and minority, women-owned and disadvantaged business enterprises. The Liaison Outreach and Services Program (LOSP) will assist DBEs in securing information concerning DOT procurement opportunities, the short term lending and bonding assistance programs in order to increase the number of DBEs that enter into transportation related contracts.

Minority College and Universities Program

The OSDBU has entered into Grant Agreements with Historically Black Colleges and Universities (HBCU) and Hispanic Serving Institutions (HSI) to support the recipients in the design and implementation of educational programs to encourage, promote, and assist minority entrepreneurs and businesses in obtaining transportation-related contracts. In addition, the agreements support the recipients in providing quality educational experiences, training and employment opportunities to minority students interested in transportation-related careers. This project combines the efforts of Government, HBCU, HSI, MBE/WBE/DBE and the private sector in fostering diversity in educational opportunities for college students in the field of transportation and in promoting the interest of MBE/WBE/DBE.

For general information relating to OSDBU programs, please contact:

Department of Transportation
Director, Office of Small and
Disadvantaged Business Utilization (S-40)
400 7th Street, S.W.
Room 9414
Washington, D.C. 20590
Telephone: (202) 366-1902, 1(800) 532-1169

Small Business Specialists

At each of its headquarters and field procurement offices, DOT has one or more Small Business Specialists. All proposed procurements are reviewed for the participation of small business, including disadvantaged business firms. When possible, specific procurements are set aside exclusively for small business competition. Small firms are also included on the bidder's list of each competitive solicitation. All small firms interested in doing business with DOT are encouraged to utilize the assistance and services offered by the Headquarters Small Business Specialists listed on page 46 and the Simplified Acquisition Procedure Offices listed on page 48.



Headquarters Small Business Specialists

Office of the Secretary / Transportation Administrative Service Center (OST/TASC)

Cynthia Blackmon, Room 5106
Telephone: (202) 366-4968

400 7th Street, S.W.
Washington, D. C. 20590

Federal Aviation Administration (FAA)

Inez Williams, Room 715
Telephone: (202) 267-8881

800 Independence Ave., S.W.
Washington, D.C. 20591

Fred Dendy, Room 715
Telephone: (202) 267-7454

800 Independence Ave., S.W.
Washington, D.C. 20591

United States Coast Guard (USCG)

Ms Dani Wildason, Room 2606
Telephone: (202) 267-1154

2100 2nd Street, S.W.
Washington, D.C. 20593

Federal Highway Administration (FHWA)

Debbie Ridgely, Room 4404
Telephone: (202) 366-4233

400 7th Street, S.W.
Washington, D. C. 20590

Federal Railroad Administration (FRA)

Miles S. Washington, Jr., 6th Floor
Telephone: (202) 362-3126

1120 Vermont Ave NW
Washington, D. C. 20005

National Highway Traffic Safety Administration (NHTSA)

Richard L. Dixon, Room 5301
Telephone: (202) 366-9563

400 7th Street, S.W.
Washington, D. C. 20590

Federal Transit Administration (FTA)

Dale C. Moore Johnson, Room 7405
Telephone: (202) 366-4980

400 7th Street, S.W.
Washington, D.C. 20590

Geraldine Head, Room 7412
Telephone: (202) 366-4018

400 7th Street, S.W.
Washington, D. C. 20590



Maritime Administration (MARAD)

Rita Thomas, Room 7310
Telephone: (202) 366-5757

400 7th Street, S.W.
Washington, D. C. 20590

Research and Special Programs Administration (RSPA)

Keith J. O'Neill, Room 8321
Telephone: (202) 366-5513

400 7th Street, S.W.
Washington, D. C. 20590

Saint Lawrence Seaway Development Administration (SLSDA)

Linda Harding
Telephone: (315) 764-3236

P. O. Box 520
Massena, New York 13662



Simplified Acquisition Procedure Offices- Department of Transportation Headquarters:

*Office of the Secretary / Transportation
Administrative Service Center*

Mr. Dan Telep
Contracting Officer
Simplified Acquisition Serv., SVC -180
400 7th Street, SW., Room 5106
Washington, DC 20590
(202) 366-6699

United States Coast Guard

Mrs. Natika George,(G-HSCa3)
2100 2nd Street, SW., Room B411
Washington, DC 20593
(202) 267-1574

Federal Aviation Administration

Ms. Lillie Harris, ASU-360
Supervisor, Contracts and
Small Purchases
800 Independence Avenue, SW., Room 402
Washington, DC 20591
(202) 267-3687

Federal Highway Administration

Ms. Donna McAleer
Chief, Highway Support Services and
Small Purchases Administration Branch
400 7th Street, SW., Room 4410
Washington, DC 20590
(202) 366-4270

*National Highway Traffic Safety
Administration*

Ms. Janice Flemming, NAD-30
Supervisor
400 7th Street, SW., Room 5301
Washington, DC 20590
(202) 366-9569

Federal Transit Administration

Ms. Dale Moore Johnson, UAD-40
Contract Specialist
400 7th Street, SW., Room 7405
Washington, DC 20590
(202) 366-4980

Maritime Administration

Ms. Rita Thomas, MAR 380
Contract Specialist
400 Seventh Street, SW., Room 7310
Washington, DC 20590
(202) 366-5757

Research and Special Programs Administration

Mr. Orrin Cook, DTS-852
Transportation Systems Center
Small Purchases
Building #4, Room 2-295
Kendall Square
Cambridge, Massachusetts 02142
(617) 494-2593

Federal Railroad Administration

Ms. Dana Hicks, RAD-30
Purchasing Agent
1120 Vermont Ave., NW., 6th Floor
Washington, DC 20005
(202) 632-3239



Disadvantaged Business Enterprise (DBE) - States and Possessions:

Alabama

Mr. Ronald J. Green
Chief, Bureau of Human Resources
Alabama Department of Transportation
1409 Coliseum Boulevard
Montgomery, Alabama 36130-3050
(334) 242-6336 or 1-800-247-3618

Alaska

Ms. Kay Rollison
DBE Manager
Alaska DOT and DBE Office
P.O. Box 196900
Anchorage, Alaska 99519-6900
(907) 762-4260

Arizona

Ms. Lisa Wormington
Administrator,
Office of Affirmative Action
Arizona DOT
1739 W. Jackson, Room 118
Phoenix, Arizona 85007
(602) 255-7761

Arkansas

Mr. Dan Flowers
Director
Arkansas State Highway and
Transportation Department
P.O. Box 2261
Little Rock, Arkansas 72203
(501) 569-2262

California

Ms. Algerine McCray
Chief, Office of Civil Rights
CALTRANS
Division of Civil Rights
1120 N Street, Room 2545
Sacramento, California 95814
(916) 227-9784

Connecticut

Ms. Margo S. Kilbon
Director
Bureau of Finance and Administration
Connecticut DOT
Contract Compliance Unit
P.O. Box 317546
Newington, Connecticut 06131-7546
(203) 594-3067

Colorado

Guillermo Vidal
Executive Director
Colorado Dept. of Transportation
4201 East Arkansas Avenue
Denver, Colorado 80222
(303) 757-9205

Delaware

Ms. Bobbi Hettel-Minner
DOT EEO Liaison Officer
Delaware DOT
P.O. Box 778
Dover, Delaware 19903
(302) 739-5716

District of Columbia

Mr. Jerry Carter
Chief, Office of Contract Admin.
District of Columbia
Department of Public Works
Office of Contract Administration
2000 14th Street, NW, 5th Floor
Washington, DC 20009
(202) 939-8072

Florida

Mr. Howard Jemison
DBE Certification
Florida DOT
Minority Programs Office
3717 Apalachee Parkway, Suite G
Tallahassee, Florida 32311
(850) 921-7370

Georgia

Mr. Robert L. Bradley, EEO Admin.
Charles French,
Contract Compliance Officer
Georgia DOT
No. 2 Capitol Square, Rm 262
Atlanta, Georgia 30334-1002
(404) 656-5323

Hawaii

Mr. Daniel Iyo
Business Management Officer
Hawaii DOT
869 Punchbowl Street
Honolulu, Hawaii 96813
(808) 587-2133



Idaho

Kintu Nnambia
Chief, Civil Rights Manager
Ms. Heidi Gordon
Civil Rights Affirmative Action Officer
State of Idaho ITD
P.O. Box 7129
Boise, Idaho 83707
(208) 334-8845

Illinois

Ms. R. Beverly Peters
Bureau Chief
Bureau of Small Business Enterprise
Illinois DOT
2300 South Dirksen Parkway, Rm. 319
Springfield, Illinois 62764
(217) 785-5947

Indiana

Mr. George Roney
Supportive Services Director
Indiana Government Center North
100 North Senate Avenue, Room 855
Indianapolis, Indiana 46204
(317) 233-3563

Iowa

Mr. Roger Bierbaum
Contract Engineer
Iowa DOT
800 Lincoln Way
Ames, Iowa 50010
(515) 239-1414

Kansas

Ms. Sandra Greenwell
DBE Liaison Officer
Kansas DOT
Docking Office Building
915 Harrison
Topeka, Kansas 66612
(913) 296-7916

Kentucky

Mr. Ronald Derricks
DBE Liaison Officer
Kentucky Transportation Cabinet
State Office Building, Room 904
501 High Street
Frankfort, Kentucky 40622
(502) 564-3601

Louisiana

Ms. Frances Gilson
Compliance Programs Director
Louisiana DOT & Development
P.O. Box 94245
Baton Rouge, Louisiana 70804-9245
(504) 379-1382

Maine

Ms. Jane L. Gilbert
Director, Office of Equal
Opportunity Employee Relations
Maine DOT
Transportation Building, SHS-16
Augusta, Maine 04333
(207) 287-3576

Maryland

Ms. Ruth Roberts Hendricks, Director
Maryland DOT
P. O. Box 8755--#10 Elm Road
BWI Airport, Maryland 21240
(410) 859-7325

Massachusetts

Ms Patricia O'Brien, Head Director
Office of Civil Rights
Massachusetts Highway Department
10 Park Plaza, Room 5453
Boston, Massachusetts 02116
(617) 973-7823

Michigan

Mr. Charles Ford, Administrator
Mr. Robert Anderson
Assistant Administrator
Office of Equal Opportunity
Michigan DOT
P.O. Box 30050
Lansing, Michigan 48909
(517) 373-6732

Minnesota

Ms. Dawn Thompson
Marketing Specialist
Minnesota DOT, EEO Contract Management
395 John Ireland Blvd., Room 207
St. Paul, Minnesota 55155
(612) 282-2633



Mississippi

Mr. Jim N. Smith
DBE Coordinator
Mississippi Dept. of Transportation
Contract Administration Division
P.O. Box 1850
Jackson, Mississippi 39215-1850
(601) 359-7700

Missouri

Sharon M. Taegel
EEO Administrator
Missouri Highway & Transportation Department
P.O. Box 270
State Highway Building
Jefferson City, Missouri 65102
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Montana

Sam Prestipino
(Acting) Chief, Civil Rights Bureau
Department of Transportation
P.O. Box 201001
Helena, Montana 59620
(406) 444-6333

Nebraska

Ms. Laura Wood
Minority Business Officer
Nebraska Department of Roads/
Construction Division/MBO
Central Office Building, Room 105
1500 Highway 2, P.O. Box 94759
Lincoln, Nebraska 68509
(402) 479-4531

Nevada

Mr. Fred Skivington
Manager
Nevada DOT
1263 South Stewart Street
Carson City, Nevada 89712
(702) 888-7497

New Hampshire

Ms Sandra Drouin, Supervisor
Labor Compliance Administrator
New Hampshire DOT
P.O. Box 483
Concord, New Hampshire 03302-0483
(603) 271-6611

New Jersey

Ms Linda Errico
DBE Liaison Officer
New Jersey DOT
1035 Parkway Avenue, CN600
Trenton, New Jersey 08625
(609) 530-3872

New Mexico

Mr. Bill Jaramillo
DBE & EEO Liaison Officer
New Mexico State Highway &
Transportation Department
1120 Cerrillos Road, P.O. Box 1149
Santa Fe, New Mexico 87504-1149
(505) 827-1775

New York

Tracey Long, Director
Office of EEO Development
& Compliance
New York State DOT
1220 Washington Avenue
State Campus, Building 4, Rm. G16
Albany, New York 12232
(518) 457-1134

North Carolina

Delano Rackard
Director of Civil Rights Division
North Carolina DOT
P.O. Box 25201
Raleigh, North Carolina 27611
(919) 733-2300

North Dakota

Ms. Deborah J. Igoe
Civil Rights Officer
North Dakota DOT
608 East Boulevard Avenue
Bismarck, ND 58505-0700
(701) 328-2899

Ohio

Mr. Mark Kelsey
Office Administrator
Office of Contracts
Ohio DOT
25 South Front Street, Room 708
Columbus, Ohio 43215
(614) 782-8498



Oklahoma

Mr. Paul Adams, Deputy Director
Oklahoma DOT
200 NE. 21st Street
Oklahoma City, Oklahoma 73105
(405) 521-3957

Oregon

Ms. Lynn Todd
Manager, DBE/EEO/ESB
Oregon DOT, Transportation Department
112 Transportation Building
Salem, Oregon 97310
(503) 986-3290

Pennsylvania

Mr. Robert C. Wonderlend
Deputy Secretary for Admin.
Pennsylvania DOT
1220 Transportation and Safety Bldg.
Commonwealth and Forster St.
Harrisburg, Pennsylvania 17120
(717) 787-5628

Puerto Rico

Mr. Carlos J. Guilbe
Director, Office of Civil Rights
DOT and Public Works
Highway and Transportation Authority
P.O. Box 42007
San Juan, Puerto Rico 00940-2007
(809) 722-2625 or 725-1183

Rhode Island

Mr. William D. Ankner
Chief, Civil Rights Office
Rhode Island DOT
2 Capitol Hill, Room 109
Providence, Rhode Island 02903
(401) 277-3260

South Carolina

Mr. B. F. Byrd, Director of Compliance
South Carolina DOT
P.O. Box 191
Columbia, South Carolina 29202
(803) 737-1372

South Dakota

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South Dakota DOT
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Tennessee

Mr. Raymond White
Contract Compliance Director
Tennessee DOT
James K. Polk Building, Suite 400
505 Deaderick Street
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(615) 741-3681

Texas

Mr. Efrem Casarez,
DBE Program Director
R. D. Brown, DBE Certification
Texas Department of Transportation
Dewitt C. Greer State Highway Bldg.
125 E. 11th Street
Austin, Texas 78701-2483
(512) 463-8870

Utah

Mr. Charles K. Larson
Civil Rights Manager
Utah DOT
4501 South 2700 West
Salt Lake City, Utah 84119-5998
(801) 965-4208

Vermont

Mr. Carroll E. Witham
Compliance Officer
Vermont Agency of Transportation
133 State Street
Montpelier, Vermont 05633
(802) 828-2644

Virginia

Mr. Peter R. Kolakowski
Assistant Commissioner for
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Virginia DOT
1401 East Broad Street, Rm. 309
Richmond, Virginia 23219
(804) 786-9950



Washington

Mr. Brenda Richardson, Director
Washington State DOT
Transportation Building 7314
Olympia, Washington 98504
(360) 705-7085

West Virginia

Mr. Jesse L. Haynes
State Capitol Complex
Director EEO Division
West Virginia Division of Highways
Bldg. 5, Room 925, 1900 Kanawha Blvd. East
Charleston, West Virginia 25305
(304) 558-3862

Wisconsin

Mr. Eugene Johnson
Director DBE Program
Wisconsin DOT
4802 Sheboygan Avenue--Room 451
P.O. Box 7916
Madison, Wisconsin 53707-7916
(608) 267-9527



The Small Business Competitiveness Demonstration Program

Purpose

- a. To test the ability of small businesses to compete successfully in certain industry categories without competition being restricted by the use of small business set-asides. This portion of the program is limited to four Designated Industry Groups (DIGs).
- b. To measure the extent to which awards are made to a new category of small businesses known as Emerging Small Businesses (ESBs), and to provide for certain DIG acquisitions to be reserved for ESB participation only.
- c. To expand small business participation in ten Targeted Industry Categories (TICs) through continued use of set-aside procedures, increased management attention, and specifically tailored acquisition procedures, as implemented through agency procedures.

Program Origin: PL 100-656, Title VII

Funding Level: N/A

How the Program Operates

The procedures for implementing the program are set forth in the Office of Federal Procurement Policy (OFPP) policy directive as amended and test plan as published in the Federal Register on September 12, 1989 and in any participating agency supplements. Pursuant to section 714(a) of PL 100-656, the requirements of the Federal Acquisition Regulation that are inconsistent with the OFPP policy directive and test plan are waived.

The program consists of two major components:

- a. A test of unrestricted competition in the following four DIGs: Construction, Refuse Systems and related services, Architectural and Engineering services, including surveying and mapping, and Nonnuclear Ship Repair. All solicitations for these four DIGs must be designated for full and open competition unless they are set-aside for the 8(a) program or sole source.
- b. A test of enhanced small business participation in ten agency targeted industry categories (TICs). Each participating agency is required to select its own TICs. See attachment for the Department of Transportation's (DOT) ten TICS.

The DOT is committed to assisting all interested small businesses to participate fully in this program. To help accomplish this, the DOT is compiling lists of: (1) ESBs with capability in one or more of the four DIGs, (2) Small businesses that have capabilities in one or more of the ten TICS, and (3) Small businesses interested in a



joint venture in order to participate in the ten TIC expansion program. If any small business desires to be included on any of these lists, please submit a written request to the Office of Small and Disadvantaged Business Utilization, Department of Transportation, 400 Seventh Street, S.W., Room 9410, Washington, D.C. 20590. If you have any questions regarding this program, you may call (202) 366-1902.

DOT's Ten Targeted Industry Categories (TIC's)

INDUSTRY NAME	FPDS Codes*
(1) Lease/Rental General Purposes Automatic Data Processing (ADP)	W070
(2) System Engineering Services Only	R414
(3) Maintenance Engine/Turbine and Maintenance, Repair Rebuilding of Weapons	J028 J010
(4) Radar Equipment and Navigation & Navigational Aids R&D	5840 AT30
(5) Radio/TV Communication Equipment (Except Airborne)	5820
(6) Automatic Data Processing, Central Processing Unit (ADP, CPU), Analog	7020
(7) Rescue Vessels	3732
(8) Automatic Data Processing (ADP) Accessorial Equipment	7035
(9) Automatic Data Processing (ADP) Teleprocessing and System Development & Programming Service	D305 D302
(10) Lease/Rental Facilities	X119

*FPDS codes - Federal Procurement Data System Product and Service Codes



Contracting for Oil Spill and Chemical Incident Response

A Role for Minority and Disadvantaged Small Business Working for the U.S. Coast Guard

There are numerous opportunities for private contractors to assist the Coast Guard in its Marine Environmental Response mission of responding to oil and hazardous chemical spills on the nation's coastline and along inland rivers. The Coast Guard is one of two agencies (EPA is the other) who are specifically tasked with immediate response to oil spills and hazardous chemical incidents throughout the country. With passage of the Oil Pollution Act of 1990 (OPA 90), Congress mandated a much more active role for the Coast Guard, with a \$1 Billion fund to support that role.

The Coast Guard has many trained and highly qualified personnel in this field, but since the service acquired this mission in 1972 it has always depended on private contractors, working for those Coast Guard men and women, to actually clean up the oil or remove the hazardous materials. Each year the Coast Guard hires contractors in hundreds of spills, spending millions of dollars to assist it in this important national goal.

The Coast Guard uses Basic Ordering Agreements (BOAs) as a prelude to actual contracts. In oil and chemical spill response, time is critical, and it is in neither the Coast Guard's nor the Contractor's interest to advertise, negotiate, and then sign a contract before the contractor starts providing assistance to the Coast Guard's On-Scene-Coordinator, or OSC. BOAs allow pre-contract negotiation and agreement on prices, capabilities available, response times, payment terms, and other relevant contract provisions. Then, if a spill occurs in the contractor's operating area, his capabilities match those the OSC requires; and the contractor agrees to respond; the contract can be entered into immediately. The Coast Guard OSC may activate such a contract over the phone with the BOA contractor. Then a Coast Guard contracting officer contacts the company to confirm the activation of the BOA and provide prompt written confirmation by express courier, fax, or other suitable means.

What services is the Coast Guard looking for? We can use contractors for: cleanup; disposal; providing equipment, not only boom, skimmers, and vacuum trucks but also earth moving equipment, protective clothing for workers, decontamination facilities, trailers for field offices, even IRM equipment; administrative support of the OSC's efforts; claims processing for people or firms damaged by an oil spill; and a host of other services.

For more information on how to "Get on the CG's BOA List," call:

Dani Wildason	Procurement Management Division, CGHQ	(202) 267-1154
Eleanor Deegan	Atlantic Area Contracting Branch	(212) 668-7102
Robert Townsend	Pacific Area Contracting Branch	(510) 437-3009

Information provided by:
USCG National Pollution Funds Center, Arlington, VA



The DOT Disadvantaged Business Enterprise Program Fact Sheet

The Department of Transportation has had in effect for more than 14 years a policy of assisting businesses owned and controlled by minorities and women in participating in contracting opportunities created by DOT financial assistance programs. During FY 1996, these entrepreneurs received over \$2.8 billion or 14.9 percent of highway, transit, air and rail contracts from DOT-assisted State and local transportation agencies.

Background

The Department, through its operating administrations, distributes approximately \$18 to over \$22 billion annually to help finance thousands of projects across the country. Approximately 85% of the assistance dollars is for construction. The major portion of the construction funds is allocated to State highway and transportation agencies for highway construction. The balance is provided to local public transit and airport authorities and a few railroad companies for mass transit, airport facilities and railroads.

In 1983, Congress enacted the first disadvantaged business enterprise (DBE) statutory provision. This provision required the Department to ensure that at least 10% of the funds authorized for the highway and transit financial assistance programs be expended with DBEs. In 1987, Congress reauthorized and amended the statutory DBE program. In the transportation legislation of that year, Congress, among other changes, added women to the groups presumed to be disadvantaged. Since 1987 DOT has established a single DBE goal, encompassing both firms owned by women and minority group members.

Primarily three major DOT operating administrations are involved in the DBE program. They are the Federal Highway Administration, the Federal Aviation Administration and the Federal Transit Administration. The DOT disadvantaged business enterprise program is carried out by state and local transportation agencies under the rules and guidelines in the Code of Federal Regulations Title 49 Part 23.

How the Program Works

Among other things, the DOT Disadvantaged Business Enterprise (DBE) regulations require recipients of DOT Federal financial assistance, namely, state and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their DOT-assisted contracts.

Each DOT-assisted State and local transportation agency is required to negotiate an annual DBE goal with the DOT. Then these DOT-assisted agencies evaluate each of their DOT-assisted contracts throughout the year and establish contract specific DBE subcontracting goals for each contract. The level of DBE subcontracting goals may vary from their approved DBE goal however, at the end of the year the amount of contract/subcontract awards to DBEs must meet and hopefully exceed their agencies approved DBE goal. Nationwide, the achievement average over 13% of total expenditures.



In order for small disadvantaged firms, including those owned by minorities and women to participate in the DOT-assisted contracts of State and local transportation agencies they must apply for and receive certification as a DBE. If the small disadvantaged businesses already have 8(a) certification from the Small Business Administration (SBA) then the DOT-assisted State and local transportation agencies should accept this certification as indication of the firm's social and economic disadvantaged status. However, the DOT-assisted agency will still have to evaluate the firms status as a small business concern using the SBA and DOT size standards prior to certifying the firms as DBEs.

Typical DBE certification criteria used by DOT-assisted agencies include but are not limited to on-site visits, personal interviews, licenses, analysis of stock ownership, listings of equipment, analysis of bonding capacity, listings of work completed, resume of principal owners, financial capacity, and type of work preferred. More information on certification can be obtained from the local certifying authority (see Section B, Contracting w/DOT page 49).

State Departments of Highways and Transportation (SDH&T) receive supportive services funds from the Federal Highway Administration to help increase DBE participation in Federal-aid highway contracts. The SDH&T may decide to use the funds inhouse to provide the supportive services or hire consultants. Supportive services whether done by the State agency or consultants help DBE's to compete in winning contracts. The services include research and development, training, and on site-technical assistance, business management assistance, estimating assistance, and assistance in obtaining necessary financing and bonding.

The Civil Rights Offices and individuals listed below are responsible for their Operating Administration's (OA) Disadvantaged Business Enterprise (DBE) program.

DBE Representative

FAA David Micklin, (202) 267-3270
FHWA George Duffy (202) 366-1586
FRA Miles Washington (202) 623-3239
FTA Akira Sano (202) 366-0796

Civil Rights Office Director

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Edward W. Morris, Director, (202) 366-0693
Miles Washington, Director, (202) 632-3239
Akira Sano, Acting Director, (202) 366-4018



Intermodal Surface Transportation Efficiency Act of 1991

(PL 102-240, December 18, 1991)

Section 1003(b) Disadvantaged Business Enterprises.

(1) GENERAL RULE - Except to the extent that the Secretary determines otherwise, no less than 10 percent of the amounts authorized to be appropriated under titles I (other than part B), III, VC and VI of this Act shall be expended with small business concerns owned and controlled by socially and disadvantaged individuals.

(2) DEFINITIONS - For purpose of this subsection, the following definitions apply:

(A) SMALL BUSINESS CONCERN - The term "small business concern" has the meaning such term has under section 3 of the Small Business Act (15 U.S.C. 632); except that such term shall not include any concern or group of concerns controlled by the same socially and economically disadvantaged individual or individuals which have an average annual gross receipt over the proceeding 3 fiscal years in excess of \$15,370,000, as adjusted by the Secretary for inflation.

(B) SOCIALLY AND ECONOMICALLY DISADVANTAGED INDIVIDUALS - The term "socially and economically disadvantaged individuals" has the meaning such term has under section 8(d) of the Small Business Act (15 U.S.C. 637(d)) and relevant subcontracting regulations promulgated pursuant thereto; except that women shall be presumed to be socially and economically disadvantaged for purposes of this subsection.

(3) ANNUAL LISTING OF DISADVANTAGED BUSINESS ENTERPRISES - Each state shall annually survey and compile a list of the small business concerns referred to in paragraph (1) and the location of such concerns in the State and notify the Secretary, in writing, of the percentage of such concerns which are controlled by women, by socially and economically disadvantaged individuals (other than women), and by individuals who are women and are also otherwise socially and disadvantaged individuals.

(4) UNIFORM CERTIFICATION - The Secretary shall establish minimum uniform criteria for State governments to use in certifying whether a concern qualifies for purposes of this subsection. Such minimum uniform criteria shall include but not be limited to on-site visits, personal interviews, licenses, analysis of stock ownership, listing of equipment, analysis of bonding capacity, listing of work completed, resume of principal owners, financial capacity, and type of work preferred.

(5) STUDY - The Comptroller General shall conduct a study of the Disadvantaged Business Enterprise Program of the Federal Highway Administration.



Airport and Airway Improvement Act (AAIA) of 1992

DBE Provisions - Sections 505(d) and 511(a)(17) and (h)

Section 505(d). Disadvantaged Business Enterprises.

(1) **GENERAL RULE.** Except to the extent that the Secretary determines otherwise, not less than 10 percent of the amounts made available under subsection (a) in a fiscal year beginning after September 30, 1987, shall be expended with small business concerns owned and controlled by socially and economically disadvantaged individuals.

(2) **DEFINITIONS.** For purposes of this subsection:

(A) **SMALL BUSINESS CONCERN.** The term "small business concern" has the meaning such term has under section 3 of the Small Business Act (15 U.S.C. 632); except that such term shall not include any concern or group of concerns controlled by the same socially and economically disadvantaged individual or individuals which has average annual gross receipts over the preceding 3 fiscal years in excess of 16,015,000, as adjusted by the Secretary for inflation.

(B) **SOCIALLY AND ECONOMICALLY DISADVANTAGED INDIVIDUALS.** The term "socially and economically disadvantaged individuals" has the meaning such term has under section 8(d) of the Small Business Act (15 U.S.C. 637(d)) and relevant subcontracting regulations promulgated pursuant thereto; except that women shall be presumed to be socially and economically disadvantaged for purposes of this subsection.

(3) **ANNUAL LISTING OF DISADVANTAGED BUSINESS ENTERPRISES.** State or airport sponsor shall annually survey and compile a list of the small business concerns referred to in paragraph (1) and the location of such concerns in the State.

(4) **UNIFORM CERTIFICATION.** The Secretary shall establish minimum uniform criteria for State governments and airport sponsors to use in certifying whether a concern qualifies for purposes of this subsection. Such minimum uniform criteria shall include but not be limited to on-site visits, personal interviews, licenses, analysis of stock ownership, listing of equipment, analysis of bonding capacity, listing of work completed, resume of principal owners, financial capacity, and type of work preferred. [49 U.S.C. App. 2204]

Section 511(a)(17)

The airport owner or operator will take such action as may be necessary to ensure that, to the maximum extent practicable, at least 10 percent of all businesses at the airport which sell food, beverages, printed materials, or other consumer products or which provide ground transportation, baggage carts, automobile rentals, or other consumer services to the public are small business concerns (as defined by the Secretary by regulation) owned and controlled by socially and economically disadvantaged individuals (as defined under section 505(d)(2XB)).



Section 511(h)(b) Administration of DBE Assurance.

(1) **MANAGEMENT CONTRACTS.** In administering subsection (a)(17) of this section, an airport owner or operator is authorized to meet the overall percentage goal established under such subsection by including businesses operated through management contracts and subcontracts. The dollar amount of a management contract and subcontract with a DBE firm shall be added to the total of DBE participation in airport concessions and to the base from which the airport's overall percentage goal is calculated. The dollar amount of management contracts and subcontracts with non-DBE firms and the gross revenues of business activities to which management contracts and subcontracts pertain shall not be added to this base.

(2) **PURCHASE OF GOODS AND SERVICES.** Except as provided in subsection (h)(3), an airport owner or operator may meet the overall percentage goal established under subsection (a)(17) of this section by including the purchase from DBEs of goods or services used in businesses conducted on the airport, provided that good faith efforts shall be made by the airport owner or operator and the businesses conducted on the airport to explore all available options to achieve, to the maximum extent practical, compliance with such goal through direct ownership arrangements, including, but not limited to, joint ventures and franchises.

(3) **PROVISION FOR CAR RENTAL FIRMS.**

(A) In complying with subsection (a)(17) of this section, an airport owner or operator shall include the revenues of car rental firms on the airport in the base from which the overall percentage goal set forth in such subsection is calculated.

(B) An airport owner or operator may require a car rental firm to meet any requirement imposed under subsection (a)(17) of this section through the purchase or lease of goods or services from DBE's. In the event an airport owner or operator requires the purchase or lease of goods or services from DBE's, a car rental firm shall be permitted to meet such requirement by including purchases or leases of vehicles from any vendor that qualifies as a small business concern (as defined by the Secretary by regulation) owned and controlled by socially and economically disadvantaged individuals (as defined under section 505(d)(2)(B)).

(C) Nothing in this subsection or subsection (a)(17) of this section shall require a car rental firm to change its corporate structure to provide for direct ownership arrangements in order to meet the requirements of such subsection or subsection (a)(17).

(4) **GENERAL PROVISIONS.**

(A) Nothing in this subsection or subsection (a)(17) shall preempt any State or local law, regulation, or policy enacted by the governing body of an airport owner or operator, or the authority of any State or local government or airport owner or operator to adopt or enforce any law, regulation, or policy relating to DBE's.

(B) An airport owner or operator shall be permitted to afford opportunities for small business concerns owned and controlled by socially and economically disadvantaged individuals to participate through direct contractual agreement with such concerns.

(5) **EXCLUSION OF AIR CARRIER SERVICES.** Air carriers in providing passenger or freight-carrying services and other businesses that conduct aeronautical activities at an airport shall not be included in the overall percentage goal set forth in subsection (a)(17) of this section for participation of small business concerns at the airport.



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Department of Transportation Short Term Lending Program

Many disadvantaged and women-owned business enterprises, hereinafter referred to as DBEs, that are qualified to perform transportation related contracts have experienced difficulty in obtaining short term working capital. In response, the U.S. Department of Transportation (DOT) Short Term Lending Program (STLP) was developed by the Office of Small and Disadvantaged Business Utilization (OSDBU) to offer certified DBEs the opportunity to obtain short term working capital at prime interest rates for transportation related projects.

Program Structure

The STLP provides revolving lines of credit to finance accounts receivable arising from transportation related contracts. The primary collateral consists of the proceeds of the contracts. Borrowing under the lines of credit are to meet the short term costs of performing the contract(s) being financed.

Transportation Related Contract

A transportation related contract is defined as a contract for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nation's modes of transportation with any public or commercial provider of transportation of any Federal, State or local transportation agency. In addition, such a contract may be with any other Federal agency; provided that, and within the discretion of the Director of DOT's OSDBU, each contract will assist a DBE in competing subsequently for contracts with either a public or commercial provider of transportation of any Federal, State or local transportation agency. This provision is applicable to any prime contractor or subcontractor, of any tier, of such a transportation provider or agency.

Certification

Certification of DBE status is performed by recipients of federal transportation funds under DOT guidelines (49 CFR, Part 23). Information is available through the DBE liaison office of each state and possession. The addresses and contact persons of the liaison offices are listed in DOT's Marketing Information Package and may also be obtained from DOT. No additional certification is required for firms certified by the U.S. Small Business Administration under Section 8(a).

Most Often Asked Questions about the DOT Short Term Lending Program

The following questions and answers have been developed as a guideline to the program qualifications and procedures:

Q: Who can apply for the DOT STLP?

A: Any company may apply which has a transportation related contract and has current certification as a DBE by any agency applying DOT certification guidelines (49 CFR, Part 23) or by the U.S. Small Business Administration Section 8(a) program.

Q: What type of financing is provided by the DOT STLP?

A: Short term working capital is provided in the form of a revolving line of credit for which the primary collateral is accounts receivable arising from the contracts or subcontracts being financed. The maximum line of credit is \$500,000.

Q: How are the lines of credit provided?

A: The STLP is administered by the DOT OSDBU through cooperative agreements between DOT and four banks (STLP banks). Loan documentation and financing transactions are performed by the STLP bank which offers the line of credit.

Q: How are the funds provided by the line of credit to be used?

A: Borrowings under the lines of credit are to meet the short term costs of performing the contract(s) being financed. Due to the STLP structure and the short term nature of borrowings, funds are not available for: contract mobilization; equipment purchases or other long term uses; refinance of existing debt; payment of non-current taxes; distributions or other payments to stockholders.

Q: How are funds borrowed and repaid under the line of credit?

A: Funds may be borrowed against each invoice of the contract(s) being financed. Repayment occurs as the project owner or prime contractor pays the invoice. The payment is made jointly to the borrower and to the STLP bank and is sent to the bank, which repays the amount borrowed against the invoice and transmits the balance to the borrower.

Q: How is the interest rate determined?

A: Borrowings under the line of credit bear interest at the prime rate as published daily in the Wall Street Journal, adjusted on the first day of each calendar month.

Q: How long can the line of credit be used?

A: A line of credit normally covers a one year period, and one or more renewals may be requested.

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Q: How does my company apply?

A: Loan applications may be obtained from DOT or from the STLP banks listed below. Completed applications may be forwarded to DOT or to the STLP bank. The name and address of each STLP bank and the states which it services are listed below.

Q: What types of information must be included with the application?

A: The application materials include a list of information items which support the application. Among them are the following:

- Business and personal financial statements
- Business and personal income tax returns
- Cash flow projections
- Accounts receivable and accounts payable
- Company profile

Q: Where can I obtain assistance in preparing the application package?

A: Firms may consider utilizing the services of the U.S. Department of Commerce's Minority Business Development Centers, the State Supportive Services Programs, the U.S. Small Business Administration's Small Business Development Centers, or private organizations as possible sources for assistance or guidance in preparing application packages.

Q: Who makes the decision for a line of credit application?

A: Decisions are made by both the STLP bank and by DOT.

Q: Can my company apply if it does not currently have a transportation related contract?

A: A company which does not have a transportation related contract may apply at such time as it has received reasonable assurance that it is being considered for a specific transportation related contract. Any offer of a line of credit will be conditional upon the company receiving an eligible contract and will be subject to review after the contract is obtained.

For More Specific Information on the Short Term Lending Program, please contact:

U.S. Department of Transportation
Office of Small and Disadvantaged Business Utilization S-40
400 7th St., SW, Rm. 9410
Washington, DC 20590
(800) 532-1169; (202) 366-2852

STLP Banks

**AK, AZ, CA, CO, HI, ID, MT, NV
OR, UT, WA, WY**

Cathay Bank
777 North Broadway
Los Angeles, California 90012
Wayne G.K. Chow
Business Banking Officer
(212) 625-4709
(213) 625-3915 Fax

AR, KS, LA, NM, OK, TX

First Texas Bank
2650 Royal Lane
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Senior Vice President
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(972) 243-2558 Fax

**AL, CT, DE, FL, GA, KY, ME, MD, MA,
MS, NH, NJ, NY, NC, PA, RI, SC, TN, VT,
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Department of Transportation Bonding Assistance Program

Program Goal

The Bonding Program offers certified minority, women-owned and disadvantaged business enterprises (DBEs) an opportunity to obtain bid, payment and performance bonds for transportation-related projects.

Program Structure

The Program provides an 80% guarantee against losses on contracts up to \$1,000,000. Bond approval and issuance are performed by the sureties.

Program Administration

The Program is administered by the U.S. Department of Transportation's (DOT) Office of Small and Disadvantaged Business Utilization (OSDBU). Funding for the guarantees is provided by DOT's OSDBU, and is operated through surety bond agents located in designated areas of the country.

Bond Application

Bond applications may be obtained from the U.S. DOT's OSDBU or from a designated local agent.

Required Information

Bond applications include a list of information items to be furnished. Among them are the following:

- Business financial statements for the previous two years, prepared by an independent accountant/CPA
- Company and contract performance history
- Uncompleted contracts schedule
- References from banks, suppliers and agencies/contractors
- Bid/proposal solicitations
- Business financial statements for past two years.
- Uncompleted contracts schedule
- References from banks, suppliers and agencies/contractors for which contracts were performed.
- History of the company

Application Assistance

Firms may consider utilizing the services of the U.S. Department of Commerce's Minority Business Development Centers or the State Departments of Transportation's Supportive Services Programs as possible sources for assistance or guidance in preparing bond applications. The Bonding Program will also accept applications developed by private resources and organizations.



Eligibility

Firms are eligible to participate in the Program when certified as DBE by an agency using DOT guidelines (49 CFR, Part 23). Also, firms certified as 8(a) companies by the U.S. Small Business Administration under Section 8(a) of the US Small Business Act, are eligible to participate in the Bonding Program.

For General Information

U.S. Department of Transportation
Office of Small and Disadvantaged
Business Utilization S-40
400 Seventh Street, S.W., Room 9410
Washington, DC 20590
Telephone: (800) 532-1169
(202) 366-2852



Most Often Asked Questions About the Department of Transportation Bonding Assistance Program

The DOT Bonding Assistance Program offers certified minority, women-owned and disadvantaged business enterprises (DBEs) an opportunity to obtain bid, payment and performance bonds on transportation related contracts up to \$1,000,000.

The following questions and answers have been developed as a guideline to the program qualifications and procedures:

Q: Who can participate in the DOT Bonding Assistance Program?

A: The DOT Bonding Assistance Program is available to any company which holds or is in the process of obtaining a transportation-related contract and is certified as a DBE by any agency applying DOT certification requirements. It also applies to any firm certified as an 8(a) firm by the U.S. Small Business Administration.

Q: What types of bonds are available?

A: Bid, payment and performance bonds are all available through the DOT Bonding Assistance Program. Contracts up to \$1,000,000 can be supported.

Q: Is there any fee involved?

A: All bonds issued through the DOT Bonding Assistance Program shall be a standard fee of the two and one half (2 1/2) percent. Environment Project Bonds have a fee of three (3) percent. All fees shall be paid directly to the surety by the DBE.

Q: How do I apply?

A: If you are in one of the Pilot Bonding Program areas, as listed on the following pages, you may contact the local agent for an application. Completed application are forwarded to the local agent.

Q: What type of information needs to be included with the application?

A: The bond package must include all information contained in the application form and exhibits or an explanation for any omission(s).

Q: Where can I obtain assistance in preparing the application package?

A: Firms may consider utilizing the services of the U.S. Department of Commerce's Minority Business Development Centers and the State Departments of Transportation's Supportive Services Programs as possible sources for assistance or guidance in preparing a bond application package. The Bonding program will also accept packages developed by private resources and organizations.

Q: Who makes the final decision for bond approval?

A: The firm has an opportunity to correct any deficiencies before the application is sent to a surety by the local bonding agent. The surety company performs the final underwriting and either issues the bond, or denies it. Decisions for the issuance of all bonds are the responsibility of the surety. DOT provides an 80% guarantee to the surety against losses.



Q: *Can I apply more than once?*

A: If the application is not approved, the applicant will be sent a letter identifying the areas of weakness in the application. When these deficiencies are addressed, another application may be submitted. Applicants previously issued a bond may apply for additional bonds. Graduation is eventually expected.

Q: *Must I submit my application to the Washington, DC for approval?*

A: The DOT has initiated several Pilot Bonding Programs throughout the country where local agents have the authority to issue bonds directly to the DBE. In order to determine whether Pilot Program is located in your area, please review the listing of program agents, or you may contact OSDDBU for further information.

Q: *Can I apply for bond readiness?*

A: Bond readiness will be performed by the surety or local agents for firms interested in seeking transportation-related contracts. Bond readiness will consist of a complete package review and preliminary underwriting. Bond packages may be maintained with the current financial data for a period of 90 days, at which time the DBE will be requested to update any part or the overall bond package.



For more specific information on the Bonding Assistance Program, please contact:

DOT Bonding Program Agents

1. Bob Hrehor
BDH Associates
620 Hillcrest Rd., Suite 400
Atlanta, GA 30247
Telephone: (770) 564-2999
Fax: (770) 564-9327

2. Bob Harris
Security Bond Assoc., Inc.
10131 SW 40th St.
Miami, FL 33165
Telephone: (305) 552-5414
Fax: (305) 226-7876

3. Bob Stimpson
Alexander & Alexander
251 N. Illinois, Suite 1500
Indianapolis, IN 46204
Telephone: (317) 237-2402
Fax: (317) 237-2461

4. Jim Olsen
JR Olsen Bonds
22900 Ventura Blvd., Suite 360
Woodland Hills, CA 91364
Telephone: (818) 224-4855
Fax: (818) 224-4857

5. James Axon
L. Robert Desantis
10 Walnut Hill Park
Woodburn, MA 01801
Telephone: (617) 935-8480
Fax: (617) 933-5645

6. Wayne McCartha
McCartha, Cobb
1407 Calhoun St.
Columbia, SC
Telephone: (803) 799-3474
Fax: (803) 799-3711
(Serving NC & SC)

7. J. Richard Jaffee
Jaffee Bonds & Ins.
809 Second St.
Santa Rosa, CA 95402
Telephone: (707) 546-4910
Fax: (707) 546-4931

8. John Abrams
Surety Services of America
6136 Campus Ln.
Cincinnati, OH 45230
Telephone: (513) 688-0800
Fax: (513) 688-0300

9. Frank Lech
O'Leary Kientz
2133 Luray Ave.
Cincinnati, OH 45206
Telephone: (513) 872-5700
Fax: (513) 872-5716

10. Don Wasoba
Surety Associates
4236 Lindell Blvd.
St. Louis, MO 63108
Telephone: (314) 534-5545
Fax: (314) 534-0991

11. Jim Damiano
Agent's Bond Connection
17774 Preston Blvd.
Dallas, TX 75252
Telephone: (214) 250-0771
Fax: (214) 250-3469

12. Pat Moore
Frank Jones Insurance
1000 Central Parkway N.,
Suite. 225
San Antonio, TX 78232
Telephone: (210) 496-6773
Fax: (210) 496-6744

13. Mary Faure
Surety Insurance Services of
the Northwest, Inc. (SISN)
155 NE 100th, Suite 303
Seattle, WA 98125
Telephone: (206) 527-6624
Fax: (206) 527-4358

14. Mary Ann Skinner
Skinner Bonding
0123 SW Hamilton
Portland, OR 97201
Telephone: (503) 226-6444
Fax: (503) 226-6534

15. Ila Delman
Universal Surety Agency, Inc.
4711 West Gold Rd., Suite 700
Skokie, IL 60076
Telephone: (847) 933-1200
Fax: (847) 674-9774
(Serving IL & MI)

**FOR ADDITIONAL
INFORMATION, PLEASE
CONTACT:**

Arthur D. Jackson
Bond Manager
DOT Surety Bond Division
Telephone: (703) 430-6143
or (202) 366-5344
Fax: (703) 430-4356
or (202) 366-7538



Solicitation Mailing List Applications

The Commerce Business Daily (CBD) is the most reliable form of information on potential contracting activities of the government. As a rule, all DOT procurement requirements over \$25,000 are advertised in the CBD. In addition, procurement offices may establish solicitation mailing lists for commonly purchased products or services.

The prescribed form for requesting inclusion in a solicitation mailing list or bidder's list, is the Standard Form 129 commonly known as the SF 129. The SF 129 may be used by all federal agencies and allows prospective contractors to provide general information about the company and the product or services it provides.

Two main coding systems are used by the government to classify procurement requirements and industries. The Standard Industrial Classification (SIC) and the Federal Procurement Data System (FPDS) codes. The SIC codes primarily describe industries and the FPDS is primarily used to classify requirements. In addition, because of the specialized nature of their procurement requirements and/or their automated systems, procurement office may develop specialized coding system(s). Since each coding system is unique, care must be taken to show which code is which when completing the SF129.

Each procurement office within DOT operating administrations except the Federal Transit Administration (FTA) and Federal Railroad Administration (FRA) maintains a Bidder's Mailing List. A separate SF 129 must be used for each procuring activity. The Bidder's List is used for planning purposes and to match procurement opportunities with companies that may be able to provide the specific products or services required. However, it must be emphasized that inclusion in a particular mailing list does not guarantee receipt of a solicitation.

For purposes of filling out the Standard Form 129, it is recommended that except where otherwise indicated, both the FPDS code and SIC codes be used in addition to a brief description of the company's capabilities. Also, care must be taken to provide any other codes prescribed by the procuring activity for classifying prospective contractors within their source list. It is important that you indicate only those products and/or services in which your company possess the competence to perform satisfactorily. It is to your advantage to take a realistic approach to your capabilities.

If you desire, you may submit along with the SF129 additional information which briefly describes the company's capabilities. Brevity of information will expedite handling and is advisable. Firms placed on a mailing list are expected to respond to any notice received. Firms failing to respond may be removed from that particular mailing list.

The Federal Highway Administration (FHWA) operates a dial-up, computer-based Electronic Bulletin Board System (FEBBS) containing information on various program activities of the FHWA (refer to the page on FEBBS).



Federal Highway Administration - Federal Electronic Bulletin Board System (FEBBS)

FEBBS

The Federal Highway Administration (FHWA) operates a dial-up, computer-based Electronic Bulletin Board System (FEBBS) containing information on various program activities of the FHWA. FEBBS is organized by Conferences, each representing specific program activity areas. One such conference is titled "Contracts and Procurement." This Conference contains a forecast of planned procurements and information on procurement requirements for which solicitation packages are currently available.

Communication Needs

FEBBS is available 24 hours a day, 7 days a week. FEBBS supports 300, 1200, 2400, and 9600 baud operation.

The telecommunication parameters based on 2400 baud and 9600 baud operation are:

SPEED:	2400	9600
TELEPHONE:	202-366-3764	202-366-3175
PARITY:	None	None
DATA BITS:	8	8
STOP BITS:	1	1
DUPLEX:	Full	Full

Logging into FEBBS

FEBBS can be called through a modem on your computer. When logging into FEBBS, you will be prompted for your first name, last name, city you are calling from and FEBBS password.

New User Registration

Each new user will need to register with FEBBS. Until you register, you cannot see (nor access) the menu items. To a new user, the Main Menu of the FEBBS has as its first name: <R>egister. The registration procedure is very simple; you enter your name, title, phone number, and office address. Each new user will be prompted to assign themselves a password. The password is limited to 8 alpha/numeric characters (no spaces), and is case-sensitive; that is, small and CAPITAL letters are not equivalent.

In addition to the user information noted above, FEBBS will ask you for information about the computer or terminal you are using. When asked, tell it that the screen width is 80 columns wide and that you want the display to pause after every 24 lines. (These settings apply to most users).



National Information Clearinghouse (NIC) - OSDBU SF129 Supplement

Fact Sheet

The National Information Clearinghouse (NIC) is a data base management system which helps the U.S. Department of Transportation's Office of Small and Disadvantaged Business Utilization (OSDBU) maintain a list of small businesses assisted and to disseminate information of interest to our constituency, including information on procurement opportunities.

Some DOT operating administrations use the Federal Procurement Data system for classifying their procurement opportunities as well as potential mailing list sources. The FPDS is the coding system prescribed for collecting, developing and disseminating procurement data in the federal government. The Commerce Business Daily uses that system in the categorization of procurement listings. This systems is very comprehensive, however, somewhat limited since it is normally used to describe the predominant nature of a specific procurement action rather than the nature of the industry that can perform the action.

In an attempt to automate the matching process for procurement opportunities, OSDBU has chosen to use the SIC coding system to classify companies entered into the NIC. This system has been used by SBA to determine small business size standards, to certify firms under the 8(a) program and for other purposes. A full description of industry categories and definitions can be found in the S.I.C. Coding book issued by Office of Management and Budget.

How does the matching process work ?

OSDBU relies on information received from the various DOT organizations and tries to notify potential contractors who have submitted information to us, based on a random computer matching process using Standard Industrial Classification codes or other key words provided by potential contractors. It is important to note that while this matching process can be viewed as an added marketing tool, in no way it is to be construed as an alternative to watching the CBD or to requesting to be included on other DOT procuring activities's mailing list.

To be included in the NIC a firm must submit a SF129 Solicitation Mailing List Application and the attached supplement. To extent practical, both the SIC codes and the FPDS codes should be used. However, it is critical that at least the proper Standard Industrial Classification code be used in order for the NIC matching process to be effective. Summary list of these codes is available from OSDBU.

DOT SF-129 Supplement

This supplemental questionnaire to Standard Form 129 has been developed by the Department of Transportation's Office of Small and Disadvantaged Business Utilization (OSDBU) primarily to include small firms on the National Information Clearinghouse (NIC) data base. The use of this supplement is optional. Since DOT Operating Administrations (OA) require similar information for their source lists, the supplement can be used as an attachment to the SF 129. Please contact the OA small business liaison officer to inquire about additional forms or codes that may be required.

Answer all questions. Indicate "N/A" if question does not pertain to your firm.

1. Name and Address of Company (Include 9 digit Zip Code)	2. Mailing Address (if Different)
3. Contact Person and Title	4. Telephone No.
5. Federal Identification Number	6. FAX Number

Yearly Average Sales \$ _____ Number of Employees _____

Is more than 51% of the firm women-owned? Yes ___ No ___

Is more than 51% of the firm minority-owned? Yes ___ No ___ If Yes, specify the Ethnic Group _____

Is this firm certified as Disadvantaged Business Enterprise (DBE) under the DOT regulations (49 CFR 23) Yes ___ No ___ By Whom _____

Is this firm certified under Section 8(a) by the Small Business Administration? Yes ___ No ___

NATURE OF THE FIRM'S BUSINESS: _____

SIC Code	Description	SIC Code	Description

FPDS Code	Description	FPDS Code	Description

OTHER CODE - SPECIFY WHICH DOT OPERATING ADMINISTRATION: _____

Code	Description	Code	Description



27. Does the SBA offer loans or grants?

SBA does not provide grants. It does however offer several loan programs. The one most frequently associated with the 8(a) program, is commonly called the "8(a) Loan Program." It provides loans to 8(a) program participants (See question 16, for a summary of this program).

The SBA has a number of other specialized loan programs:

- a. Business Loans
- b. Small General Contractors Loans
- c. Loans For The Handicapped
- d. Loans For Firms In Low Income Areas
- e. Export Revolving Line Of Credit Loan
- f. International Trade Loans
- g. Veterans Loan Program

Additional information on the above mentioned programs may be obtained from any of SBA's District Offices.

28. What are "advance payments?"

Advance payments are cash disbursements made by SBA to an 8(a) concern prior to, or during the performance of a specific 8(a) subcontract, based on anticipated performance on the part of the 8(a) concern under the particular 8(a) subcontract. They are repaid from the contract proceeds. Advance payments are made for the purpose of assisting the 8(a) concern in meeting the financial requirements for performance of the 8(a) subcontract. SBA will not consider providing advance payments until it has determined that no other form of financing is available or acceptable to support performance of the 8(a) subcontract.

29. Are there any penalties associated with the 8(a) Program resulting from a participant's misrepresentations?

Yes. Anyone who misrepresents the status of any concern or person as a small business concern or small business concern owned and controlled by socially and economically disadvantaged individuals in order to obtain benefits, is subject to punishment by a fine of not more than \$500,000 or by imprisonment for not more than 10 years, or both.

U.S. Small Business Administration
Office of Minority and Capital Ownership Development
409 Third Street, S.W. - 8th Floor
Washington, D.C. 20416



23. How does one apply to provide 7(j) assistance?

Individuals can request to be placed on SBA's 7(j) Bidder's Mailing List to receive program announcements. Typically three times a Fiscal Year, SBA issues announcements requesting proposals (RFPs) to provide management and technical assistance. Interested offerors who have been in business for at least one year before the proposal closing date may submit proposals under these RFPs.

24. What is PASS and why is it important to 8(a) companies?

PASS stands for Procurement Automated Source System. The PASS system was developed to assist small businesses in their efforts to obtain a fair share of government contracts and subcontracts.

PASS utilizes information submitted by the firms to create a computerized directory which describes the profiles of over 165,000 small businesses which are interested in competing for Federal and private sector procurements. Over 30,000 minority owned businesses are included in the data bank.

Company profiles are on-line by industry (i.e. research and development, manufacturing, construction, services, Standard Industrial Codes (SIC), Federal Supply Codes/Commodity/ Product Service Code(s) and Quality Assurance).

PASS was established and designed to supplement regular marketing and sales efforts. Entering a company's profile does not assure contracting opportunities.

A PASS form can be obtained at any SBA office. The completed SBA Form 1167 should be returned to SBA. There is no cost for inclusion in the PASS system.

25. What is the SBDC program?

The Small Business Development Center (SBDC) Program is designed to provide management assistance and counseling to present and prospective small business owners. SBDCs in effect, offer one stop assistance to small businesses. There is at least one SBDC in each state. It should be noted that assistance is not limited to 8(a) program participants.

SBDC assistance is tailored to the local community and the needs of individual clients. Each center develops services in cooperation with local SBA District Offices to ensure statewide coordination of other available resources. Assistance from an SBDC is available to anyone interested in starting, improving, or expanding a small business.

26. How does SBA assist 8(a) companies with bonding?

The Surety Bond Guarantee Program is designed to assist small and emerging contractors who cannot obtain surety bonds through regular commercial channels.

Any contract bond (bid, performance or payment) is eligible for SBA guarantee if the bond is: (1) Covered by the Contracts Bonds section of the Surety Association of America Rating Manual; (2) Required by the invitation to bid; or (3) Executed by a surety company that is either acceptable to the US Treasury or otherwise qualified by the SBA.

The SBA guarantees surety companies against a percentage of losses sustained on contracts up to \$1.25 million in face value. Additional information may be obtained from SBA's Regional Offices.



18. What is the 8(a) loan program?

It is a specific program created by Public Law 100-656 which provides loans for 8(a) program participants. Loans can be made directly by SBA or through lending institutions under the SBA's immediate participation or guaranty loan programs.

The maximum SBA guaranty of a loan secured from a private lending institution is \$750,000. The SBA's share of direct or immediate participation loans is limited to \$150,000. Loan recipients must use the proceeds within a reasonable time for plant construction, conversion or expansion, including acquisition of equipment, facilities, machinery, supplies or materials.

Loans can also be used for working capital to manufacture products, equipment, supplies or material. Only manufacturers are eligible for working capital loans. Loan proceeds cannot be used to pay debts.

19. Summarize the types of assistance available to an 8(a) firm.

The SBA basically provides 8(a) program participants with three types of assistance: financial, contractual, and management/ technical assistance.

20. What are SSBICs?

SSBIC stands for Specialized Small Business Investment Company. SSBICs were formally known as MESBICs (Minority Small Business Investment Companies). SSBICs provide assistance to small firms owned by socially and economically disadvantaged persons.

To assure that equity and venture capital are available for growth, expansion and modernization of small firms, SBA provides long term loans, debt securities and equity securities through the SSBIC program.

SSBICs also provide managerial assistance to small businesses, focusing on small firms with financing needs that under normal circumstances prevent them from receiving financing from traditional sources.

21. What in the 7(j) program?

The 7(j) program refers to section 7(j) of the Small Business Act. Section 7(j) empowers SBA to obtain and maintain a qualified cadre of individuals and organizations to provide management and technical assistance to socially and economically disadvantaged individuals, businesses owned by those individuals, and individuals and businesses located in low income and/or high unemployment areas. The 7(j) program does not provide financial resources to program clients, but pays the 7(j) service provider using a grant or cooperative agreement mechanism.

22. How does one apply to receive 7(j) assistance?

Persons interested in receiving technical or management assistance should contact the nearest SBA office and complete a form requesting counseling, which provides SBA with basic information on the individuals and the business, and on the assistance being sought.



In addition each program participant must annually review its currently approved business plan with its business opportunity specialist, and must also forecast its needs for contract awards under section 8(a) for the next program year.

15. How long can a company participate in the 8(a) program?

Program participation is divided into two stages: The developmental stage and the transitional stage. For firms approved for 8(a) program participation after November 15, 1988, the developmental stage shall be 4 years and the transitional stage shall be 5 years.

The developmental stage is designed to assist participants to overcome their economic disadvantage by providing such assistance as may be necessary and appropriate to enable them to access relevant markets and strengthen their financial and managerial skills.

The transitional stage follows the developmental stage and is designed to assist participants to overcome, insofar as possible, the remaining elements of economic disadvantage and to prepare participants for leaving the 8(a) program.

16. What types of assistance is available to 8(a) program participants?

The type of assistance available to a program participant, is dependent on its stage of development. The following assistance is available to eligible program participants during the developmental stage:

- a. Sole source and competitive 8(a) contract support.
- b. Financial assistance under the 8(a) loan program.
- c. A maximum of two exemptions from the requirements of the Walsh-Healy Act.
- d. A maximum of five exemptions from the requirements of the Miller Act.
- e. Financial assistance from SBA for skills training or upgrading for employees or potential employees.
- f. The transfer of technology or surplus property owned by the United States to program participants by grant.
- g. Training sessions to enhance program participant's skills in the area of business principles.

The following assistance is available to eligible program participants during the transitional stage:

- a. Sole source and competitive 8(a) contract support.
- b. Financial assistance under the 8(a) loan program.
- c. The transfer of technology or surplus property owned by the United States to program participants by grant.
- d. Training sessions to enhance program participant's skills in the area of business principles.
- e. Assistance from procuring agencies in forming joint ventures.
- f. Training and technical assistance in business planning to help ensure the firm's successful transition from the 8(a) program to the competitive market.

17. What is a "requirement"?

A requirement is a contract opportunity from a Federal procuring agency to acquire articles, equipment, supplies, services, materials or construction work.



prospective program participant must have adequate capital to carry out its business plan; (D) the prospective program participant must have a record of successful performance on contracts from governmental and nongovernmental sources in the primary industry category in which the prospective program participant is seeking program certification; and (E) the program participant must have or be able to demonstrate its ability to timely obtain the personnel, facilities, equipment and any other requirements needed to perform such contract.

11. How long does the 8(a) application process take?

After the completed application is returned to the District Office, the firm should receive a decision in about 105 to 125 days. The District office has 15 days to review the application for completeness. If there is a problem, the applicant will have 15 additional days to correct mistakes and/or provide additional information, and the District Office has 5 days to re-check the application. The application will then be submitted to the Regional Division of Program Certification & Eligibility (DPCE). If the DPCE determines the application is complete, a final decision regarding 8(a) Program eligibility should be made within 90 days of SBA's determination that the application is complete.

12. What rights does a Program applicant have if their application is declined?

Each program applicant has the right to request that SBA reconsider a declined application. During the reconsideration process, the applicant may submit additional or changed information. If an application is declined after reconsideration, a new application will not be accepted until twelve months from the date of the reconsideration decision.

In addition, if an application is declined solely on issues of social disadvantage, economic disadvantage, ownership and/or control, the declined applicant may appeal the decline decision to SBA's Office of Hearings and Appeals. The office of Hearings and Appeals will examine the decline decision only to see if it was arbitrary, capricious or contrary to law. No new or changed information will be considered during the appeal process.

13. After a company is 8(a) certified, how long does it take before its first contract is awarded?

A newly certified firm is not eligible for 8(a) contracts until it has submitted and received SBA approval for its business plan. After the firm has an approved plan, the length of time before its first 8(a) contract award will vary based on the success of the firm's marketing efforts. While SBA will make every effort to assist a firm with its marketing efforts, the 8(a) program is essentially a self marketing program and SBA cannot guarantee 8(a) contract awards.

14. Explain the business plan requirement.

Promptly after certification, a program participant must submit a business plan which must be approved by a business opportunity specialist prior to the program participant being eligible for 8(a) program benefits. The submitted plan must include the following data:

- a. An analysis of market potential.
- b. An analysis of the program participant's strengths and weaknesses.
- c. Specific targets, objectives, and goals for business development.
- d. A transition management plan.
- e. Estimates of contract awards pursuant to section 8(a), and from other sources.



Government to identify and classify specific categories of business that represent the main line of business of a firm. SBA has established its size standards based on SIC codes.

7. What is the SBA's definition of a small business?

SBA defines a small business as one that is independently owned and operated and is not dominant in its field. Depending on the industry, size standard eligibility is based on the average number of employees for the preceding 12 months or on sales volume averaged over a three year period. Examples of Agency general size standards include the following:

Manufacturing	Maximum number of employees may range from 500 to 1500, depending on the type of product manufactured.
Wholesaling	Maximum number of employees may not exceed 100.
Services	Annual receipts may not exceed \$3.5 to \$14.5 million, depending on the particular service being provided.
Retailing	Annual receipts may not exceed \$3.5 to \$13.5 million, depending on the particular product being provided.
General Construction	General construction annual receipts may not exceed \$9.5 to \$17 million, depending on the type of construction.
Special Trade Construction	Annual receipts may not exceed \$7 million.
Agriculture	Annual receipts may not exceed \$0.5 to \$3.5 million, depending on the agricultural product.

8. If my grandmother was a member of one of the ethnic groups designated by 13 C.F.R. 124.105(a) (i.e. Native American), does that automatically make me a member of that ethnic group?

No. You must personally identify yourself with the group culturally, socially and/or racially. It is not enough that your grandmother identified herself as Native American, since your identification with a particular group is in question and not that of your grandmother.

9. Are Portuguese-Americans presumed to be socially disadvantaged?

Yes. SBA defines "Hispanic American" to include among others, individuals whose origins are from the Iberian peninsula, which encompasses Portugal and Spain.

10. Do I have to be in business for two years in order to be eligible for the 8(a) program?

Normally yes. However a waiver of the two year rule may be granted, if a company meets certain criteria. The waiver criteria are: (A) the individual or individuals upon whom eligibility is to be based must have substantial and demonstrated business management experience; (B) the prospective program participant must have demonstrated technical expertise to carry out its business plan with a substantial likelihood for success; (C) the



3. Do I need someone to prepare my 8(a) application package? Will I increase my chances of being approved if I use a specific business consultant?

You do not need to pay anyone to prepare your 8(a) application. SBA has attempted to design the application forms so that any small business person can provide the required information. If you wish, you may have a consultant assist you with the application. However, please be advised that no one can guarantee that an application for 8(a) program participation will be approved. The application process is intended to assure that each applicant receives a fair, unbiased review, free from any favoritism or influence. To this end, any irregularities in the application review process should be immediately referred to the SBA Inspector General.

4. Who are socially and economically disadvantaged individuals?

Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identities as members of groups without regard to their individual qualities. The social disadvantage must stem from circumstances beyond their control. In the absence of evidence to the contrary, the following individuals are presumed to be socially disadvantaged: Black Americans; Hispanic Americans; Native Americans (American Indians, Eskimos, Aleuts, and Native Hawaiians); Asian Pacific Americans (persons with origins from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Commonwealth of the Northern Mariana Islands, Laos, Cambodia (Kampuchea), Taiwan; Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Republic of the Marshall Islands, Federated States of Micronesia, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru; Subcontinent Asian Americans (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands or Nepal); and members of other groups designated from time to time by the SBA.

In addition, an individual who is not a member of one of the above-named groups must establish his/her individual social disadvantage on the basis of clear and convincing evidence.

Economically disadvantaged individuals are socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities, as compared to others in the same or similar line of business and competitive market area who are not socially disadvantaged. Economic disadvantage must be proved by the applicant.

5. Can a woman-owned business be certified as an 8(a) firm?

A Woman-owned business may be recognized as a "socially disadvantaged firm" if the owner is a member of one of the groups for which social disadvantage is presumed. If the woman is not a member of one of the groups for which social disadvantage is presumed, she must establish her individual disadvantage on the basis of clear and convincing evidence that she has suffered discriminatory treatment because of her gender and that this treatment has impeded her entry into or advancement in the business world. SBA will entertain any relevant evidence but will give particular emphasis to discriminatory practices suffered in the areas of education, employment and the business world.

6. What is a SIC code?

A sic code is the Standard Industrial classification (SIC) code number as listed in the Standard Industrial Classification Manual published by the office of Management and Budget. SIC codes are used by the Federal



The Most Frequently Asked Questions About the 8(a) Program

1. What is the 8(a) program?

The 8(a) program takes its name from Section 8(a) of the Small Business Act. The Act as amended by Congress created the 8(a) program so that the Small Business Administration (SBA) could assist small companies owned and operated by socially and economically disadvantaged persons to develop their businesses. One of the business development tools of the 8(a) program is the award of Federal contracts. Under the program, SBA acts as a prime contractor and enters into all types of contracts with other Federal Government departments and agencies. In its role as a prime contractor SBA then awards subcontracts for the performance of those contracts with small companies in the 8(a) program.

2. How do I apply to the 8(a) program?

The first step in seeking certification with the 8(a) program is to contact the local SBA district office serving your area. An SBA representative will answer your general questions over the telephone, and set up an appointment with you to go over the various application forms which need to be completed.

The following forms and documentation are required to be submitted for an eligibility determination:

- a. Form SBA 101A, "8(a) Personal Eligibility Statement"
- b. Form SBA 1010B, "Business Eligibility Statement"
- c. Form SBA 413, "Personal Financial Statement"
- d. Form SBA 912, "Statement of Personal History"
- e. Fingerprint Card, FD 258
- f. Business Organization Information
- g. Federal Income Tax Returns
- h. Business Financial Statements
- i. History of the Business
- j. Organization Chart
- k. Resumes
- l. Financing Arrangements
- m. Bonding Information
- n. Arrangements for Business Premises
- o. Arrangements for Business Equipment
- p. Licenses
- q. Management, Consulting or Other Agreements
- r. Schedule of Business Insurance
- s. Information Regarding Affiliates



encouraged to contact the agency responsible for the overall mission for free written information regarding preparation and submission of unsolicited proposals.

The NIIS is used to introduce new or improved products into the Federal supply system. Potential suppliers submit GSA Form 1171, Application for Presenting New Articles, to any General Services Administration (GSA) Business Service Center. A listing of the GSA Business Service Centers can be found in various publications including the "U.S. Government Purchasing and Sales Directory." (Ref: FAR 38.102-3, FAR 15.500 & FAR 48.1)

13. General Contract Administration Problems. What about abandoning a contract?

If a contractor abandons a contract or fails to satisfactorily perform a contract, the contracting officer may terminate the contract for default and charge the contractor the excess reprocurement cost, i. e., whatever the difference is between the original contract price and the ultimate cost to the Government.

14. What is the difference between responsiveness and responsibility?

Responsiveness - Bids submitted in a sealed bid procurement will be considered only if they comply in all material aspects with the invitation for bids. Such compliance is called "responsiveness" and is not a concept directly applicable to negotiated procurements. The fairly strict requirements of responsiveness represent an effort to ensure that all bidders stand on an equal footing and that the integrity of the sealed bidding system is maintained. A bid is an offer submitted at the invitation of the Government but the invitation tells bidders, in terms as precise as possible, what they may offer. Any offer (bid) that deviates in a material respect from what the Government wants, according to the invitation, will be rejected as nonresponsive.

Responsibility - Awarding contracts on the basis of price alone can be false economy if unsatisfactory performance results. Prospective contractors are required to demonstrate affirmatively their ability to perform in a satisfactory manner. Before making an award, the contracting officer must have information that indicates clearly that the awardee meets all applicable standards of responsibility.

Minimum standards require adequate financial resources or the ability to obtain them, ability to meet the delivery or performance schedule, a satisfactory record of performance, and a satisfactory record of integrity. A prospective contractor must also be otherwise qualified and eligible for award, i.e., only manufacturers or regular dealers qualify for award subject to the Walsh-Healy Public Contracts Act.

15. How does a firm obtain military specifications, drawings and technical data?

Specifications not included in a solicitation may be obtained from:

Standardization Documents Order Desk
Building 4D
700 Robbins Avenue
Philadelphia, PA 29111-5094

16. What are progress payments? How do I get them?

Progress payments are payments to the contractor in recognition of progress toward complete performance, usually based on incurred authorized costs. A clause in the solicitation will give notice of the availability or



Specifications requiring a qualified product are included in the following publications:

- a. Index of Federal Specifications and Standards FPMR 101-29.1;
- b. Department of Defense Index of Specifications and Standards.

Instructions concerning qualification procedures are included in the following publications:

- a. Federal Standardization Handbook, FPMR 101-29, Chapter IV;
- b. Defense Standardization Manual 4120.3M, Chapter IV, as amended by Military Standards 961 and 962.

The publications listed above are available and sold to the public by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20407. Firms interested in obtaining specifications pertaining to Federal civilian agencies may obtain their publications from the General Services Administration, Specification Section (WFSIS), Washington, D.C. 20407. Firms interested in obtaining specification pertaining to Defense agencies may obtain the publications from the Standardization Documents Order Desk, Building 4D, 700 Robbins Avenue, Philadelphia, Pennsylvania 19111-5094.

All inquiries and requests for qualification of products should be submitted to the activity named in Section 6 of the applicable specification noted above. Additional opportunities for qualification, before solicitation, are synopsized in the Commerce Business Daily.

In summary, any interested party desiring to qualify their product should:

- a. Check the Commerce Business Daily (CBD) publication for opportunities to qualify specific products;
- b. Contact the procuring agency responsible for the product for specific information relative to qualification requirements;
- c. Obtain the applicable specification from the sources, i.e., Government Printing Office, General Services Administration or Naval Publications and Forms Center;
- d. Perform, at your expense, the qualification tests required by the applicable specification;
- e. Submit evidence of the qualification tests to the agency identified in the specification.

Introducing New Product.- Any organization or person interested in introducing a new product into the Federal procurement system, prior to any requirement by the Federal procuring agencies, can do so by either of two methods:

- (1) Submission of an unsolicited proposal to the Federal agency responsible for the item;
- (2) by having the product included in the New Item Introductory Schedule (NIIS) through any of the General Services Administration (GSA) Business Service Centers.

An unsolicited proposal is a written offer to perform a unique task or effort, submitted to the Government, by an offeror, without solicitation by the Government, with the objective of obtaining a contract. Interested parties are



11. Protests -What is the procedure to protest size and other protests to the Contracting Officer?

Size Protest: Any offeror or other interested party (other than a large business) may protest the small business representation of an bidder or offeror on a small business set aside contract. In order to affect a specific solicitation, a protest must be timely. To be timely, a protest must be received by the contracting officer within five business days after bid opening. With respect to negotiated procurements a protest must be received by the contracting officer within five business days after receipt of the special notification from the contracting officer that identified the apparently successful offeror. Protests must also have specificity to be valid; simple allegations that another firm is not small are insufficient to constitute a protest. Some factual grounds for the allegation must be included.

Other Than Size Protests: Contracting officers will consider all protests or objections to the award of a contract, whether submitted before or after award. If a protest is oral and the matter cannot be resolved, written confirmation of the protest will be requested. The protestor will be notified in writing of the final decision of the written protest.

Explain a protest to GAO (General Accounting Office)

Any interested party may file a protest with GAO. Usually protests are filed by disappointed bidders or offerors or by potential bidders or offerors. GAO, however, will also consider protests filed by others who have some legitimate interest in the particular action.

A GAO bid protest is initiated by filing a written protest with GAO's Office of General Counsel. A copy of the protest must, within one day, be provided to the official designated in the solicitation or the contracting officer in lieu of such designation. GAO then requests a report on the matter from the procuring agency. When the agency report is received, a copy is provided to the protestor who is given the opportunity to comment. Other parties may also be provided with copies of the protest and the agency report for comment. In some cases an informal conference may be held in which the protestor and others are afforded an opportunity to present their views directly to GAO attorneys responsible for the case. GAO then considers the facts and issues raised by the protest and issues a decision in the name of the Comptroller General. A copy of the decision is sent to the protestor, to interested parties, and to any agency involved. The agency normally takes action in accordance with the decision. Processing time from date of receipt of the protest to date of decision usually takes approximately 60 to 90 working days, depending on urgency and complexity. Contract awards or performance is normally suspended during this time period. In order to be considered timely, a protest to the GAO must be filed within 10 days after the protestor becomes aware of the adverse action. Protests concerning solicitations, such as on restrictive specifications, must be filed prior to bid opening or the deadline for receipt of proposals.

12. What is a qualified product? How are new introduced?

"Qualified Product" means an item has been examined and tested for compliance with specification requirements and qualified for inclusion in a qualified product list.

Qualification is the process by which products are obtained from manufacturers or distributors, examined and tested for compliance with specification requirements, then included in a list of qualified products. Generally, qualification is performed in advance, at the contractor's expense, and independently of any specific procurement action. Qualification of a supplier or manufacturer's product is through the medium of a specification issued by the activity designated as responsible for development and maintenance of the specification and any qualified product list.



9. What is the 8(a) Program?

The 8(a) Business Development Program provides Federal Government contracts and other assistance to small businesses owned by socially and economically disadvantaged individuals. Under 8(a) Program authority, SBA enters into contracts with other Federal agencies to supply goods and services, and subcontracts the actual performance of the work to 8(a) Program participants.

To participate in the 8(a) Program, a small business must be at least 51 percent unconditionally owned, controlled and managed by either an individual(s) who is a socially and economically disadvantaged citizen of the United States; or an economically disadvantaged Indian tribe, including an Alaskan Native Corporation or an economically disadvantaged native Hawaiian organization.

Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as members of a group without regard to their individual qualities. In the absence of evidence to the contrary, the following individuals are presumed to be socially disadvantaged: Black Americans, Hispanic Americans, Asian Pacific Americans, Asian Indian Americans, Subcontinent Asian Americans and Native Americans. Individuals who are not members of the above named groups may establish their social disadvantage on the basis of clear and convincing evidence.

Economically disadvantaged individuals are socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities. Program applicants must also demonstrate that they have the potential to succeed in the 8(a) Program, including demonstrated managerial or technical expertise and adequate financial resources.

The program term for 8(a) participants is nine years, beginning on the date of 8(a) Program certification. This term is divided into two stages: a four-year developmental stage, and a five-year transitional stage. A variety of program benefits are available during both stages.

Certification for participation in the 8(a) Program is not a guarantee of contract awards. SBA can only pledge its best efforts to support the business development of participant firms.

10. What is a Certificate of Competency (COC)? Can I get one before I submit my bid or proposal? If I don't get a COC this time, will it hurt my chances in the future to get one?

A COC is a written instrument issued by SBA to a Government contracting officer, certifying that a small business concern possesses the capability or eligibility (with respect to the Walsh-Healy Public Contracts Act) to perform all or part of a specific Government procurement or sales contract.

The COC procedure is only available to small business concerns whose otherwise successful bid or proposal on a specific procurement or sale is rejected by the contracting officer based on a finding that the firm is a non-responsible contractor and/or ineligible under Section 35(a) of the Walsh-Healy Public Contracts Act (41 USC 35(a)). A Certificate of Competency applies only to the specific procurement in question. A firm's failure to apply for a COC or the denial of a COC has no impact on future COC actions.



Listing your company in PASS is free. To qualify for PASS, your firm must be an established, independently-owned small business operating in the United States. To register your company's profile in PASS, obtain a PASS COMPANY PROFILE form from your nearest SBA office.

7. Commerce Business Daily - What is it, how is it used, and how do I get it?

The Commerce Business Daily (CBD) is a publication that is printed and issued each Government business day. It is a daily list of U.S. Government invitations for bids (IFB), requests for proposals (RFP), contract awards, subcontracting leads, sales of surplus property and foreign business opportunities. Federal Acquisition Regulation (FAR) 5.201 requires all Federal agencies to synopsise in the CBD any proposed contract actions expected to exceed \$25,000 (\$10,000 for non-competitive requirements). Contract awards in excess of \$25,000 are also synopsized in a separate section of the CBD.

Since the FAR requires the publication of a CBD synopsis 15 days prior to issuing a solicitation, small and small disadvantaged businesses can review the CBD for prime contract and subcontracting opportunities. The CBD synopsis includes the name and address of a contact in the agency processing the acquisition. Only Monday's issuance contains a published list of the numbered notes referenced in each synopsis.

A SB/SDB can subscribe to the CBD for \$261 a year (1st Class Mailing); or \$208 a year (2nd Class Mailing). A six month "Trial Subscription" is available for \$130 (1st Class) or \$104 (2nd Class). Send remittance to Superintendent of Documents, Government Printing Office, Washington, D.C. 20402-9325. If you want to review a CBD, almost all libraries maintain copies on file and many Government procurement agencies maintain copies on file in their Small Business Offices.

8. Are there any special procurement programs and preferences for women-owned businesses?

In most agencies women-owned businesses are counted but do not receive preferential treatment. However, three major agencies do give special preferences for women-owned businesses.

The Department of Energy's Superconducting Super Collider Project, through Public Law 101-101, includes women in their definition of economically and socially disadvantaged individuals for purposes of a set-aside. There is a 10% set-aside requirement for that project and that set-aside flows down to all subcontracts.

NASA has also defined women-owned businesses as socially and economically disadvantaged in the NASA Plan, which outlines their proposals to broaden the base of small businesses supporting their procurement actions. By Public Law 101-144, NASA has been tasked by Congress with a goal of 8% of the total value of prime contracts and subcontracts to be awarded to socially and economically disadvantaged firms, which includes women-owned businesses.

The third agency that gives women-owned businesses special treatment is the Department of Transportation. However, this preference only applies to contracts awarded by each state from money awarded by the Federal Government under the Surface Transportation Act (Highway Trust Fund). This Act requires that the state certify women-owned businesses, as they do socially and economically disadvantaged firms. Your State Department of Transportation can provide details on your state's certification process.



4. Contract Payments - Why isn't interest automatic after 30 days in accordance with the Prompt Payment Act (PL 97-177)?

Under the Prompt Payment Act, interest now begins after 30 days. The Act previously allowed a grace period of an additional 15 days, but this grace period was eliminated on April 1, 1990. This presumes delivery, acceptance and invoicing is in accordance with the contract terms. The time period begins when a proper invoice is received in the paying office. The interest rate is set by the Treasury Department and is published in the Federal Register every six-months.

NOTE: In the near future, payments by U.S. Treasury will all be made by Electronic Funds Transfer (EFT) directly to financial institutions. Contact your bank for its impact on your commercial accounts.

5. Explain subcontracting procedures and opportunities in the Federal acquisition process.

One of the greatest opportunities that small and small disadvantaged businesses have for participating in Government procurement, other than contracting directly with an agency, is through subcontracting with firms that have contracts with civilian or military agencies. Opportunities in the subcontracting field are often overlooked by small businesses and small disadvantaged business firms.

Federal contracts which exceed \$1,000,000 in the case of a contract for the construction of any public facility, or \$500,000 in the case of all other contracts, and which offer subcontracting possibilities, require that contractors which are not small businesses submit a subcontracting plan which becomes part of the contract. The plan includes percentage goals for the utilization of small business concerns and small disadvantaged business concerns. Large business contractors are required to designate a Small Business Liaison officer who administers the subcontracting programs. These programs are designed to assist small and small disadvantaged business concerns by affording them the opportunity to participate in Government work as subcontractors.

The Commerce Business Daily is useful in identifying firms which offer subcontracting opportunities in that they have received a recent Federal contract for a specific product or service. In addition, SBA publishes a "Subcontracting Directory" of all of these prime contractors, which includes their address, a description of their product lines, and the name and telephone number of an initial contact point for a small firm desiring to become a subcontractor. This subcontracting directory is available from all SBA regional offices.

6. What is PASS? How will it benefit my business?

PASS (Procurement Automated Source System) is a national automated directory of small suppliers of goods and services. Presently, it lists profiles of well over 200,000 companies, including over 37,000 minority-owned and 48,000 women-owned firms.

PASS provides benefits to both buyers and suppliers. It enables procurement offices to quickly identify companies meeting their procurement needs. At the same time, it provides small businesses with a valuable marketing avenue for entering the Federal marketplace or expanding their existing Federal contracts.

By listing your firm in PASS, you can increase your marketing opportunities. PASS is actively used by purchasing officials from industry and the public sector to find potential suppliers of goods and services. Although no one can guarantee new business, listing your firm in PASS is an effective addition to your regular marketing and sales efforts.



1. Define a small business and the certification process.

For the purposes of SBA procurement assistance, a concern generally is considered small if it is independently owned and operated, is not dominant in its field of operation and can further qualify under the criteria set forth in the SBA Small Business Size Standards Regulation set forth in Title 13, Part 121 of the Code of Federal Regulations. In making a detailed definition, SBA may use these criteria, among others: number of employees, annual receipts, affiliates or other applicable factors. In submitting a bid or proposal on a Government procurement, a concern which meets the criteria in the Regulation may represent or self-certify that it is a small business for the particular procurement involved. Under Federal Acquisition Regulations (FAR) the specific size criterion for a procurement must be stated in the solicitation. For information on specific industry classifications (manufacturing, construction, services, transportation, refined petroleum products, and research, development and testing) and refinements of the general definition of a "Small Business," contact the nearest SBA regional office.

2. What is Standard Form (SF) 129, Solicitation Mailing List Application?

Standard Form 129 (SF-129), Solicitation Mailing List Application, is designed for use by persons or concerns wishing to be added to a particular agency's bidders mailing list for equipment, supplies, materials and/or services. A properly completed SF-129 shall be filed with each procurement office of the Federal agency with which a concern desires to do business. Applicants are encouraged to complete an SF-129, leaving the "NAME AND ADDRESS OF FEDERAL AGENCY TO WHICH FORM IS SUBMITTED" section blank, and the "SIGNATURE" space blank, so that it may be reproduced and then signed and distributed to different agency procurement offices. There are two publications that tell where and how to use the SF-129 and give some information about Government procurement procedures: (1) "U.S. Government Purchasing and Sales Directory," available from the Superintendent of Documents, US Government Printing Office, Washington, D.C. 20402, and (2) "Selling to the Military," available from most Department of Defense installations or Department of Defense, Washington, D.C. 20301.

After placement on the bidders mailing list of an agency, failure to respond to an invitation for bid (IFB) (either by submission of bid, or notice in writing that the firm is unable to bid on that particular transaction but wishes to remain on the active bidders mailing list for that particular item), may result in removal of the firm's name from the mailing list.

3. Use of "U.S. Government Purchase and Sales Directory" - How do I identify who in the Government buys my product?

To identify which Government agencies buy specific products or services, the section listing items purchased by civilian and military agencies must be consulted. If the product or service is not specifically identified in the listings, then a search should be made for a broad classification in which it is most likely to be included.

When the product or service or the broad class of which it is a part has been located, it should be noted that the name of the product or service is followed by one or more numbers. The purchasing office, military or civilian, designated by these numbers can be identified by referring to the appropriate listing of purchasing offices which is located immediately after the product or service listings in the directory. Part II of the directory contains the listings for military purchasing offices. The listings for civilian purchasing offices are located in Part IV

In addition to the material discussed above, the directory contains other information which may be of interest to prospective contractors to the Government. This includes general information on selling to the Government, information about local purchasing, research and development, Government specifications, property sales, applicable forms and a listing of Government offices from which procurement assistance may be obtained.



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The 25 Most Asked Questions About Federal Procurement

Preface

The U.S. Federal Government is the world's largest purchaser of goods and services. Selling to the Federal Government can be a tremendous opportunity for small businesses. The Small Business Administration has developed the *Twenty-five Most Asked Questions About Federal Procurement* publication to assist small business concerns to better understand Federal procurement. If you have further questions, please do not hesitate to contact the nearest Small Business Administration regional office.

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The Procurement Automated Source System (PASS)

U.S. Small Business Administration

In 1977, Congress authorized the U. S. Small Business Administration (SBA) to establish the Procurement Automated Source System (PASS).

Each work day, Federal acquisition centers and their major prime contractors award contracts and subcontracts valued at millions of dollars for which small business concerns may compete. The PASS system was developed to assist small businesses in their efforts to obtain a fair share of Government contracts and subcontracts.

Presently, PASS utilizes information in the form of a computerized directory which describes the profiles of over 140,000 small businesses which are interested in competing for federal procurements. Included in the data bank are over 26,000 minority- owned businesses, 27,000 female-owned firms and well over 40,000 veteran-owned businesses.

Company profiles are "on-line" in the fields of research and development, manufacturing, construction, services, Standard Industrial Codes (SIC), Federal Supply Codes/Commodity Product Service Code(s) and Quality Assurance. The aforementioned are just a few of the categories in which PASS users may instantly obtain a printout of selected small businesses having related capabilities.

There is no cost for listing your company in PASS. As an automated directory, we believe that the more companies contained therein, the more valuable the directory. The information you provide to us will be entered into PASS.

Remember, PASS was established and designed to supplement your regular marketing and sales efforts. Entering your company's profile does not assure contracting opportunities, but as the marketplace grows more complex, your business should explore every possible opportunity to discover new and expanded marketing areas.

You can obtain a PASS form at any SBA office. When you provide the data, please be as complete and accurate as you can in describing your company and its capabilities.

Federal agencies and prime contractors who are interested in "direct access" and/or further information contact the PASS Hotline at 1-(800)-231-PASS



5. Size Standard. In order to be eligible to participate in the 8(a) program, a firm must qualify as a small business (as defined for the purpose of government procurement in Section 121 of the SBA Rules and Regulations). The applicable size standard will be based on the primary industry classification of the business.

6. Potential for Success. SBA will approve a business for program participation only when it finds that the applicant firm has been in business in its primary industry classification for two full years as evidenced by revenues shown on filed tax returns, and possesses the potential for success.

7. Ineligible Businesses. Brokers, packagers and franchises are ineligible for 8(a) program participation.

8. Term of Program Participation. Every 8(a) certified business participates in the program for nine years from the date an applicant is certified as a program participant.

The term is divided into two stages: a four-year developmental stage, and a five-year transitional stage. A variety of program benefits are available during both stages.

Other Assistance Available. Financial assistance is available through the Agency's many lending programs, including the 8(a) loan program for eligible certified firms. The Agency provides advance payments when justified, on 8(a) contracts to cover extraordinary start-up costs on these contracts. Contractors in the program can receive a wide range of assistance in managing their firms, including pamphlets, individual counseling, seminars and professional guidance. In addition, these companies may be eligible to receive the bonding necessary to perform on government contracts through the Surety Bond Guarantee Program or, in special circumstances, a waiver of the bonding requirement.

How to Apply

Any individual or business has the right to apply for Section 8(a) assistance, whether or not there is an appearance of eligibility. Applications for admission must be filed and approved cases must be serviced in the SBA district office serving the territory in which the principal place of business of the applying firm is located. Principal place of business means the location at which the business records of the firm are maintained and the location at which the individual who manages the concern's day-to-day operations spends the majority of his/her working hours.

Additional Information

Contact the SBA office nearest you for further information. Check your local telephone directory under U.S. Government for the telephone number, or call the SBA Answer Desk at 1-800-827-5722.

SBA Revised: March 1990



- b. An economically disadvantaged Indian Tribe, Alaskan native corporation, or Hawaiian organization.

2. Social Disadvantage. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities.

- a. Members of Designated Groups: Absent evidence to the contrary the following individuals are presumed to be socially disadvantaged: Black Americans, Hispanic Americans, Native Americans (American Indians, Eskimos, Aleuts and Native Hawaiians); Asian Pacific Americans (persons with origins from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Commonwealth of the Northern Mariana Islands, Laos, Cambodia (Kampuchea) Taiwan, Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Republic of the Marshall Islands, Federated States of Micronesia, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, and Nauru), Subcontinent Asian Americans (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands and Nepal) and members of other groups designated from time to time by SBA.
- b. Individuals not members of the above-named groups establish their social disadvantage on the basis of clear and convincing evidence, including the following elements:
 - (i) The individual's social disadvantage must stem from his or her color, national origin, gender, physical handicap, long term residence in an environment isolated from the mainstream of American society, or other similar cause beyond the individual's control.
 - (ii) The individual must demonstrate that he or she has personally suffered social disadvantage, not merely claim membership in a nondesignated group which could be considered socially disadvantaged.
 - (iii) The individual's social disadvantage must be chronic, longstanding and substantial, not fleeting or insignificant.
 - (iv) The individual's social disadvantage must be rooted in treatment which he or she has experienced in American society, not in other countries.
 - (v) The individual's social disadvantage must have negatively impacted on his or her entry into, and/or advancement in, the business world.

3. Economic Disadvantage. Economically disadvantaged individuals are socially disadvantaged individuals whose ability, to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities, as compared with others in the same or similar line of business and competitive market area who are not socially disadvantaged.

In determining the degree of economic disadvantage, consideration is given to the following: (1) the personal financial condition of the individual(s) claiming disadvantaged status, including the individual's access to capital and credit; (2) the financial condition of the business; and (3) the applicant's access to capital credit and markets. An individual whose personal net worth exceeds \$250,000, excluding his/her ownership interest in the applicant firm and equity in his/her personal residence, will not be considered economically disadvantaged for purposes of program entry.

4. Control and Management Eligible businesses' management and daily business operations must be controlled by individual(s) determined to be socially and economically disadvantaged, and such individual(s) must be engaged in the daily management and operation of the business. The individual must have management or technical expertise directly related to the primary SIC Code of the business.



The Small Business Administration's Section 8(a) Program

The Program

The 8(a) Contracting and Business Development Program, started in 1968, is named for the section of the Small Business Act from which it derives its authority. Through the 8(a) program, small companies owned by socially and economically disadvantaged persons can obtain Federal Government contracts and other assistance in developing their businesses.

Under the 8(a) program, SBA act as a prime contractor and enters into all types of Federal Government contracts with other government departments and agencies. In its role as a prime contractor, SBA negotiates subcontracts for the performance of those contracts with small companies in the 8(a) program. Generally, contracts with an anticipated award value, including options, of less than \$5 million for manufacturing Standard Industrial Classification (SIC) codes and \$3 million for all other SIC codes are awarded on a non-competitive basis, and contracts in excess of those amounts are awarded after competition among eligible 8(a) participants.

Purpose

The purpose of the 8(a) program is to:

1. Foster business ownership by individuals who are socially and economically disadvantaged.
2. Promote the competitive viability of such firms by providing contract, financial, technical and management assistance.
3. Clarify and expand the program for the procurement by the United States of articles, equipment, supplies, services, materials, and construction from small businesses owned by socially and economically disadvantaged individuals.
4. Increase the number of small businesses owned and controlled by socially and economically disadvantaged individuals from which the United States may purchase equipment, products and services.

Eligibility

Applicants for 8(a) program participation must meet certain requirements which include, but are not limited to, the following criteria:

- 1. Ownership.** To participate in the 8(a) program, a business must be at least 51 percent unconditionally owned by either:
 - a. An individual(s) who is a citizen of the United States [specifically excluding resident alien(s)] and determined to be socially and economically disadvantaged, or



Getting Started

The Department of Transportation, which sponsors a variety of financial and assistance programs of interest to small firms, also offers help to companies, trade associations, and other private and public sector organizations, on highway safety.

This information can help you convince employees and their families that highway safety is in their best interest.

Related Services

NETS: Network of Employers for Traffic Safety. The Department is a member of NETS, a coalition of manufacturing and service companies, and public agencies, that sponsor traffic safety programs. If you would like information on projects in your area sponsored by NETS, please write to:

NETS
Executive Secretary
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AUTO SAFETY HOTLINE: (800) 424-9393. This toll-free telephone number, operated by the Department, provides callers with information on motor vehicle safety recalls, safety defect investigations, new car crash test results, and other safety topics. If you have safety problems with your motor vehicles, tires, or automotive equipment, please share your experiences with us by calling the Hotline.

U.S. Government Printing Office: 1990 275--248



NHTSA Safework: Small Business and Highway Traffic Safety

For employers large and small, motor vehicle crashes are the number one cause of lost time at work, on-the-job fatalities and debilitating injuries. Consider these facts concerning the casualties on our highways each year:

- Three out of four deaths, and more than half the injuries suffered by workers in 1987, occurred off the-job. Two thirds of off-the-job deaths and over one third of the off-the-job injuries involve motor vehicles.
- A serious automobile crash involving an employee results in sizeable direct and indirect costs.
- The cost of each motor vehicle crash can add up to thousands of dollars. For the nation, the costs of these crashes were more than \$74 billion in 1986: \$27.4B for property damage; \$16.4B for lost productivity, \$4.1B for medical costs, and \$26.3B for other costs such as insurance, legal, emergency service and other expenses.

Think again of what it means when employees become casualties on-the-job. How will employees, family members, and the company, make it through the tragedy? What about medical and legal expenses to the family and the firm? How long will it take to find someone new? How much will it cost to replace company equipment involved?

Take a Closer Look

These statistics show that traffic safety problems, such as drinking and driving, not using safety belts, and speeding can no longer be ignored. Because motor vehicle crashes can represent significant economic losses to small firms, taking steps to reduce them makes good business sense. These steps can:

- Reduce human and property losses
- Lower accident rates, both on and off-the-job
- Lower medical and disability insurance costs
- Increase productivity
- Improve relationships between employees and employers

What Works?

Corporations and other organizations promoting traffic safety have found that the following elements are common to a successful program.

- A strong management commitment to traffic safety, from the chief executive officer on down.
- A requirement (written policy) that all employees will not drink and drive, will use their safety belts, and will follow traffic laws while operating or riding in a motor vehicle on company business.
- Educational information to inform employees of the company policy.
- An incentive program to encourage support of traffic safety.

While it's helpful to look at what other firms are doing, it is important to tailor your program to your situation.



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Data Parameters	→ 300-19.2, N, 8, 1
1-800-697-4636	→ SBA and other government agency information. → Downloadable SBA information files and .QWK mail.
1-900-463-4636	→ SBA and other government agency information.
14¢/minute	→ Downloadable shareware files → Gateway
(202) 401-9600	→ Internet E-mail → Mail
D.C. metro only	→ On-line searchable data banks
Internet Telnet	→ www.sbaonline.sba.gov
(202)205-6400	→ Technical Support (202)205-7333 → TDD



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Department of Defense Procurement Technical Assistance Program

Fact Sheet

The Department of Defense Procurement Technical Assistance (DoD PTA) program was established by Congress in the FY 1985 DoD Authorization Act to assist state and local governments and other private nonprofit entities in establishing or maintaining PTA activities to help business firms market their goods and services to the DoD. In FY 1991 the PTA program was extended to offer assistance to firms wishing to market any Federal agency.

The PTA centers are funded by the DoD Defense Logistics Agency (DLA) and local or state funding, and for the most part, the services are free to businesses.

Cooperative agreement awards are made and administered by the Defense Contract Management District (DCMD) Small Business Offices. All awards are made competitively for a twelve-month period unless extended.

PTA centers are on the local scene, and give day to day professional guidance and assistance to business firms who wish to market their products and/or services to Federal agencies. The assistance is provided through telephone calls, correspondence, or personal discussions.

The PTA services include, but is not limited to, providing advice and assistance regarding marketing opportunities or technical assistance in areas such as:

- (A) Matching the firm's products and/or services with that being purchased by Federal agencies;
- (B) Obtaining specifications;
- (C) Preparing requests to be placed on solicitation mailing lists;
- (D) Preparing offers; and
- (E) Providing post award assistance in areas such as production, quality system requirements, finance, engineering and transportation.
- (F) Distribution of publications and referring firms to other sources for advice and assistance.

For further information on the PTA program, contact the Defense Logistic Agency's OSDBU Office at (703) 767-3400.



Unsolicited Proposals

Those individuals or firms with innovative concepts which they believe will provide certain unique methods for assisting minority business development may submit unsolicited proposals in accordance with procedures listed in Subpart 15.5 -Unsolicited Proposals- in the Federal Acquisition Regulations.

Unsolicited proposals with a national scope should forward the submission to the Director Office Management and Technical Assistance Small Business Administration, 3rd St. SW, Suite 8800, Washington D.C. 20416;

Unsolicited proposals to be conducted in a specific geographical area should be submitted to the appropriate SBA regional administrator.

Unsolicited proposals will receive consideration for funding after obligations in response to announcements are made.

Qualifications for Assistance Providers

Professional management assistance firms must meet the standards stated in the management and technical assistance program announcement, against which a proposal will be submitted. Potential offerors must have been in business for at least one year before the closing date for receipt of proposals and have a staff capacity to perform at least 50 percent of the work.

Additional Information

To be considered as an assistance provider, the individual, organization or firm can request that its name be added to our mailing list to receive future program announcements, or Request for Proposals (RFP) by completing Standard Form 129, *Solicitation Mailing List Application*. The form should be marked 7(j) Bidder's List and forwarded to the Small Business Administration Office of Procurement and Grants Management, Grants Management Branch, Washington, D.C. 20416.

If additional information is desired, please contact the director, Director Office of Financial and Management Assistance.

Awardee Determination

Awards are made based upon availability of funds. Awardees are determined by an evaluation team of SBA specialists knowledgeable of Agency goals and federal regulations governing the 7(j) program. Criteria such as quality, staff capability, previous experience and effectiveness in performance are used in the evaluation. Award announcements are sent by mail or published in the *Commerce Business Daily*.

Issued by: Office of Public Communications Revised: June 1988



The 7(j) Management and Technical Assistance Program

U.S. Small Business Administration

The Program

Under the Management and Technical Assistance 7(j) Program, SBA is authorized to enter into grants, cooperative agreements and/or contracts with qualified individuals, for profit firms, state and local governments, educational institutions, Indian tribes and nonprofit organizations, in order to provide management and technical aid to SBA clients. SBA clients are those individuals or enterprises eligible for assistance under Sections 7(i) and 7(j) or the Small Business Act. SBA maintains and provides these services for small firms as required.

Management and technical assistance available to SBA clients includes, but is not limited to, bookkeeping and accounting services, production, engineering and technical advice, feasibility studies, marketing analyses and advertising expertise, limited legal services and specialized management training. Many of these services are free.

Eligibility to Receive Assistance

In general, eligible recipients include SBA's 8(a) certified firms, socially and economically disadvantaged persons, and/or those businesses operating in areas of low income or high unemployment, or owned by low income individuals.

How to Apply to Receive Assistance

Individuals interested in receiving technical or management assistance should contact the nearest SBA office and ask for SBA Form 641 Request for Counseling. The form provides SBA with basic information on the individual and his/her business.

How to Apply to Provide Assistance

Competitive Awards

Announcements requesting proposals to provide management and technical assistance in a particular fiscal year are made prior to the beginning of that fiscal year (October 1). SBA typically makes at least three announcements, against which interested offerors may submit proposals. Each announcement will contain information regarding the types of assistance needed and how to apply. Notices of these announcements are published in the Commerce Business Daily.

Criteria for proposal submissions will be contained in the announcements. Proposals, as a minimum, should contain the methods and approach to be used, the tasks proposed, milestones to be accomplished, organizational capability and personnel expertise.



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Little Rock MBDC
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The Bennington Corp.
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CALIFORNIA IBDC
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DAYTON MBDC
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University of Dayton
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Dayton, OH 45402
Tel: (513) 228-0290



Minority Business Development Agency (MBDA)

United States Department of Commerce

Minority Business Development Centers

MBDA'S nationwide network of minority business development centers (MBDCs) counsel minority business individuals on accounting, administration, business planning, inventory control, negotiations, referrals, networking, construction contracting and subcontracting, marketing and on SBA's 8(a) certification to participate in minority set-aside contracting opportunities with the Federal Government. They provide managerial and technical assistance for bonding, bidding, estimating, financing, procurement, international trade, franchising, acquisitions, mergers, joint ventures and leveraged buyouts. MBDCs facilitate the formation and expansion and generate opportunities for minority owned firms. The location of the MBDCs are subject to change annually. Please call the nearest MBDA Regional or District Office in your immediate area for updates.

Minority Business Development Centers

ALBUQUERQUE MBDC

Anna Muller
MEDA
718 Central Avenue, S.W.
Albuquerque, NM 87102
Tel: (505) 843-7114

AUSTIN MBDC

Steve Villegas
H. V. Villegas & Company
1524 S. Intl. Hwy 35, Ste. 218
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ARIZONA IBDC

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BATON ROUGE MBDC

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Wybirk & Associates, Inc.
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Baton Rouge, LA 70806
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AUGUSTA MBDC

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CSRA Business League, Inc.
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Tel: (706) 722-0994

BIRMINGHAM MBDC

Henry AbramsMyrtis Myles
Gilchrist & Company
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Birmingham, AL 35203
Tel: (205) 251-2040



files and/or libraries, switchboard operation, writers, bookkeeping, minor office equipment maintenance and repair, use of information systems (not programming), etc.

12. SIC code 8744:

(1) If one of the activities of base maintenance, as defined below, can be identified with a separate industry, and that activity (or industry) accounts for 50 percent or more of the value of an entire contract, then the proper size standard shall be that for the particular industry, and not the base maintenance size standard.

(2) "Base Maintenance" requires the performance of three or more separate activities. The activities may be either service or special trade construction related activities. If services are performed, these activities must each be in a separate SIC code including, but not limited to, Janitorial and Custodial Service, Fire Prevention Service, and Grounds Maintenance and Landscaping Service. If the contractors (plumbing, painting, plastering, carpentry, etc.), all such special trade construction activities are considered a single activity and classified as Base Housing Maintenance is only one activity, two additional activities are required for a contract to be classified as "Base Maintenance."



produced, or sold worldwide during the preceding calendar year is less than 10 percent of the total value of such products manufactured or otherwise produced or sold in the United States during said period.

6. SIC codes 4724, 6531, 7311, 7312, 7313, 7319, and 8714 (part): As measured by total revenues, but excluding funds received in trust for an unaffiliated third party, such as bookings or sales subject to commissions. The commissions are included as revenue.

7. A financial institution's assets are determined by averaging the assets reported on its four quarterly financial statements for the preceding year. Assets for the purposes of this size standard means the assets defined according to the Federal Financial Institutions Examination Council 034 call report form.

8. SIC code 6515: Leasing of building space to the Federal Government by Owners: For the Government procurement, a size standard of \$15.0 million in gross receipts applies to the owners of building space leased to the Federal Government. The standard does not apply to an agent.

9. SIC codes 7699 and 3728: Contracts for the rebuilding or overhaul of aircraft ground support equipment on a contract basis are classified under SIC code 3728.

10. SIC code 8731: For research and development contracts requiring the delivery of a manufactured product, the appropriate size standard to use is that of the manufacturing industry in which the specific products is classified.

(1) Research and Development, as defined in the SIC Manual, means laboratory or other physical research and development on a contractor fee basis. Research and development for purposes of size determinations does not include the following: economic, educational, engineering, operations, systems, or other nonphysical research; or computer programming, data processing, commercial and/or medical laboratory testing.

(2) For purposes of the Small Business Innovation Research (SBIR) program only, a different definition has been established by law. See Section 121.7 of these regulations.

(3) Research and development for guided missiles and space vehicles includes evaluation and simulation, and other services requiring thorough knowledge of complete missiles and spacecraft.

11. Facilities Management, a component of SIC code 8744, has the following definition: Establishments, not elsewhere classified, which provide overall management and the personnel to perform a variety of related support services in operating a complete facility in or around a specific building, or within another business or Government establishment. Facilities management means furnishing three or more personnel supply services which may include, but are not limited to, secretarial services, typists, telephone answering, reproduction or mimeograph service, mailing service, financial or business management, public relations, conference planning, travel arrangements, word processing, maintaining



FOOTNOTES

Size standards preceded by a dollar sign (\$) are in millions of dollars of annual receipts. All others are in number of employees unless specified otherwise.

1. SIC code 1629--Dredging: To be considered small, a firm must perform the dredging of at least 40 percent of the yardage with its own dredging equipment or equipment owned by another small dredging concern.

2. SIC Division D -- Manufacturing: "Rebuilding on a factory basis or equivalent." For rebuilding machinery or equipment on a factory basis, use SIC code applicable for new manufactured product. The appropriate size standard is not limited to manufacturers. Ordinary repair services or preservation operations, however, are not considered rebuilding activities.

3. SIC code 2033: For purposes of Government procurement for food canning and preserving under SIC code 2033, the standard of 500 employees shall be exclusive of agricultural labor as defined in Section (k) of the Federal Unemployment Tax Act, 68A Stat. 454, 26 U.S.C. (I.R.C. 1954) 3306.

4. SIC code 2911: For purposes of Government procurement, the firm may not have more than 1,500 employees, nor may it have more than 75,000 barrels per day capacity. This capacity may be measured in terms of either crude oil or bona fide feedstocks or both, but the sum total of the various petroleum-based inputs into the process may not exceed 75,000 barrels. In addition to the direct-owned capacity of the concern in question, counted capacity will include any leased facilities or any facilities made available to the concern under an arrangement such as (but not limited to) an exchange agreement or a throughput, or other form, or processing agreement (whereby another party processes the concern's own crude or feedstocks). Such an arrangement would have the same effect as though such facilities had been leased, and this would have to be included in the concern's own capacity. The total product to be delivered in the performance of the contract must be at least 90 percent refined by the successful bidder from either crude oil or bona fide feedstocks.

5. SIC code 3011: For purposes of Government procurement, a firm is small for bidding on a contract for pneumatic tires within Census Classification codes 30111 and 30112, provided that:

(1) the value of tires within Census Classification codes 30111 and 30112 which it manufactured in the United States during the previous calendar year is more than 50 percent of the value of its total worldwide manufacture,

(2) the value of pneumatic tires within Census Classification codes 30111 and 30112 which it manufactured worldwide during the preceding calendar year was less than 5 percent of the value of all such tires manufactured in the United States during said period, and

(3) the value of the principal product which it manufactured or otherwise



8731*	...	Commercial Physical and Biological Research:(18) 500(10)
		Aircraft 1,500
		Aircraft Parts, and Auxiliary Equipment, and Aircraft Engines and Engine Parts 1,000
		Space Vehicles and Guided Missiles, their Propulsion Units, their Propulsion Units Parts, and their Auxiliary Equipment and Parts 1,000
		Other Commercial Physical and Biological Research 500
8732*	...	Commercial Economic, Sociological, and Educational Research \$5.0
8733*	...	Noncommercial Research Organizations \$5.0
8734*	...	Testing Laboratories \$5.0
8741*	...	Management Services \$5.0(6)
8742*	...	Management Consulting Services \$5.0
8743*	...	Public Relations Services \$5.0
8744*	...	Facilities Support Management Services(19) \$5.0(11)
----	...	Base Maintenance(20) \$20.0(12)
8748*	...	Business Consulting Services, N.E.C. \$5.0
-----+-----+-----			
MAJOR GROUP 89 -- SERVICES, NOT ELSEWHERE CLASSIFIED			
-----+-----+-----			
8999	Services, N.E.C. \$5.0



8222	Junior Colleges and Technical Institutes	\$5.0
8231	Libraries	\$5.0
8243	Data Processing Schools	\$5.0
8244	Business and Secretarial Schools	\$5.0
8249	Vocational Schools, N.E.C.	\$5.0
8299	Schools and Educational Services, N.E.C.	\$5.0
8299	Flight Training Services	\$18.5

MAJOR GROUP 83--SOCIAL SERVICES

8322*	...	Individual and Family Social Services	\$5.0
8331	Job Training and Vocational Rehabilitation Services	\$5.0
8351	Child Day Care Services	\$5.0
8361	Residential Care	\$5.0
8399	Social Services, N.E.C.	\$5.0

MAJOR GROUP 84--MUSEUMS, ART GALLERIES, AND BOTANICAL AND ZOOLOGICAL GARDENS

8412*	...	Museums and Art Galleries	\$5.0
8422*	...	Arboreta and Botanical or Zoological Gardens	\$5.0

MAJOR GROUP 86--MEMBERSHIP ORGANIZATIONS

8611	Business Associations	\$5.0
8621	Professional Membership Organizations	\$5.0
8631	Labor Unions and Similar Labor Organizations	\$5.0
8641	Civic, Social, and Fraternal Associations	\$5.0
8651	Political Organizations	\$5.0
8661	Religious Organizations	\$5.0
8699	Membership Organizations, N.E.C.	\$5.0

MAJOR GROUP 87-- ENGINEERING, ACCOUNTING, RESEARCH, MANAGEMENT, AND RELATED SERVICES

8711*	...	Engineering Services:		
		Military and Aerospace Equipment and Military Weapons	\$20.0
		Contracts and Subcontracts for Engineering Services Awarded Under the National Energy Policy Act of 1992	\$20.0
		Marine Engineering and Naval Architecture	\$13.5
		Other Engineering Services	\$2.5
8712*	...	Architectural Services (Other Than Naval)	\$2.5
8713*	...	Surveying Services	\$2.5
8721*	...	Accounting, Auditing, and Bookkeeping Services	\$6.0



7822*	...	Motion Picture and Video Tape Distribution	\$21.5
7829	Services Allied to Motion Picture Distribution	\$5.0
7832	Motion Picture Theaters, Except Drive-In.....	\$5.0
7833	Drive-In Motion Picture Theaters	\$5.0
7841*	...	Video Tape Rental	\$5.0

MAJOR GROUP 79--AMUSEMENT AND RECREATION SERVICES

7911	Dance Studios, Schools, and Halls	\$5.0
7922	Theatrical Producers (Except Motion Picture) and Miscellaneous Theatrical Services	\$5.0
7929	Bands, Orchestras, Actors, and Other Entertainers and Entertainment Groups	\$5.0
7933	Bowling Centers	\$5.0
7941	Professional Sports Clubs and Promoters	\$5.0
7991*	...	Physical Fitness Facilities	\$5.0
7993	Coin-Operated Amusement Devices	\$5.0
7996	Amusement Parks	\$5.0
7997	Membership Sports and Recreation Clubs	\$5.0
7999	Amusement and Recreation Services, N.E.C.	\$5.0

MAJOR GROUP 80--HEALTH SERVICES

8011	Offices and Clinics of Doctors of Medicine	\$5.0
8021	Offices and Clinics of Dentists	\$5.0
8031	Offices and Clinics of Doctors of Osteopathy	\$5.0
8041	Offices and Clinics of Chiropractors	\$5.0
8042	Offices and Clinics of Optometrists	\$5.0
8043*	...	Offices and Clinics of Podiatrists	\$5.0
8049	Offices and Clinics of Health Practitioners, N.E.C	\$5.0
8051	Skilled Nursing Care Facilities	\$5.0
8052*	...	Intermediate Care Facilities	\$5.0
8059	Nursing and Personal Care Facilities, N.E.C....	\$5.0
8062	General Medical and Surgical Hospitals	\$5.0
8063	Psychiatric Hospitals	\$5.0
8069	Specialty Hospitals, Except Psychiatric	\$5.0
8071	Medical Laboratories	\$5.0
8072	Dental Laboratories	\$5.0
8082*	...	Home Health Care Services	\$5.0
8092*	...	Kidney Dialysis Centers	\$5.0
8093*	...	Specialty Outpatient Facilities, N.E.C.	\$5.0
8099*	...	Health and Allied Services, N.E.C.	\$5.0

MAJOR GROUP 81--LEGAL SERVICES

8111	Legal Services	\$5.0
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MAJOR GROUP 82--EDUCATIONAL SERVICES

8211	Elementary and Secondary Schools	\$5.0
8221	Colleges, Universities, and Professional Schools	\$5.0



7363*	...	Help Supply Services	\$5.0
7371*	...	Computer Programming Services	\$18.0
7372	Prepackaged Software	\$18.0
7373*	...	Computer Integrated Systems Design	\$18.0
7374	Computer Processing and Data Preparation and Processing Services	\$18.0
7375*	...	Information Retrieval Services	\$18.0
7376*	...	Computer Facilities Management Services	\$18.0
7377*	...	Computer Rental and Leasing	\$18.0
7378*	...	Computer Maintenance and Repair	\$18.0
7379	Computer Related Services, N.E.C.	\$18.0
7381*	...	Detective, Guard, and Armored Car Services	\$9.0
7382*	...	Security Systems Services	\$9.0
7383*	...	News Syndicates	\$5.0
7384*	...	Photofinishing Laboratories	\$5.0
7389*	...	Business Services, N.E.C. (21)	\$5.0

MAJOR GROUP 75--AUTOMOTIVE REPAIR, SERVICES, AND PARKING

7513	Truck Rental and Leasing, Without Drivers	\$18.5
7514*	...	Passenger Car Rental	\$18.5
7515*	...	Passenger Car Leasing	\$18.5
7519	Utility Trailer and Recreational Vehicle Rental	\$5.0
7521*	...	Automobile Parking	\$5.0
7532*	...	Top, Body, and Upholstery Repair Shops and Paint Shops	\$5.0
7533*	...	Automotive Exhaust System Repair Shops	\$5.0
7534	Tire Retreading and Repair Shops	\$10.5
7536*	...	Automotive Glass Replacement Shops	\$5.0
7537*	...	Automotive Transmission Repair Shops	\$5.0
7538	General Automotive Repair Shops	\$5.0
7539	Automotive Repair Shops, N.E.C.	\$5.0
7542	Carwashes	\$5.0
7549	Automotive Services, Except Repair and Carwashes	\$5.0

MAJOR GROUP 76--MISCELLANEOUS REPAIR SERVICES

7622	Radio and Television Repair Shops	\$5.0
7623	Refrigeration and Air-Conditioning Service and Repair Shops	\$5.0
7629	Electrical and Electronic Repair Shops, N.E.C.	\$5.0
7631	Watch, Clock, and Jewelry Repair	\$5.0
7641	Reupholstery and Furniture Repair	\$5.0
7692	Welding Repair	\$5.0
7694	Armature Rewinding Shops.....	\$5.0
7699	Repair Shops and Related Services, N.E.C.	\$5.0 (9)

MAJOR GROUP 78--MOTION PICTURES

7812*	...	Motion Picture and Video Tape Production	\$21.5
7819	Services Allied to Motion Picture Production	\$21.5



DIVISION I -- SERVICES(16)

MAJOR GROUP 70--HOTELS, ROOMING HOUSES, CAMPS, AND OTHER LODGING PLACES

97011	Hotels and Motels..... \$5.0
7021	Rooming and Boarding Houses \$5.0
7032	Sporting and Recreational Camps \$5.0
7033	Recreational Vehicle Parks and Campsites \$5.0
7041	Organization Hotels and Lodging Houses, on Membership Basis \$5.0

MAJOR GROUP 72--PERSONAL SERVICES

7211	Power Laundries, Family and Commercial \$10.5
7212	Garment Pressing, and Agents for Laundries and Drycleaners \$5.0
7213	Linen Supply \$10.5
7215	Coin-Operated Laundries and Drycleaning \$5.0
7216	Drycleaning Plants, Except Rug Cleaning \$3.5
7217	Carpet and Upholstery Cleaning \$3.5
7218	Industrial Launderers \$10.5
7219	Laundry and Garment Services, N.E.C. \$5.0
7221	Photographic Studios, Portrait \$5.0
7231	Beauty Shops \$5.0
7241	Barber Shops \$5.0
7251	Shoe Repair Shops and Shoeshine Parlors \$5.0
7261	Funeral Service and Crematories \$5.0
7291* ...	Tax Return Preparation Services \$5.0
7299	Miscellaneous Personal Services, N.E.C. \$5.0

MAJOR GROUP 73--BUSINESS SERVICES

7311	Advertising Agencies \$5.0 (6)
7312	Outdoor Advertising Services \$5.0 (6)
7313	Radio, Television, and Publishers' Advertising Representatives \$5.0 (6)
7319	Advertising, N.E.C. \$5.0 (6)
7322* ...	Adjustment and Collection Services \$5.0
7323* ...	Credit Reporting Services \$5.0
7331	Direct Mail Advertising Services \$5.0
7334* ...	Photocopying and Duplicating Services \$5.0
7335* ...	Commercial Photography..... \$5.0
7336* ...	Commercial Art and Graphic Design \$5.0
7338* ...	Secretarial and Court Reporting Services \$5.0
7342	Disinfecting and Pest Control Services..... \$5.0
7349	Building Cleaning and Maintenance Services, N.E.C \$12.0
7352* ...	Medical Equipment Rental and Leasing \$5.0
7353* ...	Heavy Construction Equipment Rental and Leasing \$5.0
7359* ...	Equipment Rental and Leasing, N.E.C. \$5.0
7361	Employment Agencies \$5.0



MAJOR GROUP 65--REAL ESTATE

6512	Operators of Nonresidential Buildings \$5.0
6513	Operators of Apartment Buildings \$5.0
6514	Operators of Dwellings Other Than Apartment Buildings \$5.0
6515	Operators of Residential Mobile Home Sites \$5.0
----	Leasing of Building Space to Federal Government by Owners \$15.0(8)
6517	Lessors of Railroad Property \$5.0
6519	Lessors of Real Property, N.E.C. \$5.0
6531	Real Estate Agents and Managers \$1.5(6)
6541	Title Abstract Offices \$5.0
6552	Land Subdividers and Developers, Except Cemeteries \$5.0
6553	Cemetery Subdividers and Developers \$5.0

MAJOR GROUP 67--HOLDING AND OTHER INVESTMENT OFFICES

6712	Offices of Bank Holding Companies \$5.0
6719	Offices of Holding Companies, N.E.C. \$5.0
6722	Management Investment Offices, Open-End \$5.0
6726	Unit Investment Trusts, Face-Amount Certificate Offices, and Closed-End Management Investment Offices \$5.0
6732	Educational, Religious, and Charitable Trusts.. \$5.0
6733	Trusts, Except Educational, Religious, and Charitable \$5.0
6792	Oil Royalty Traders \$5.0
6794	Patent Owners and Lessors \$5.0
6798	Real Estate Investment Trusts \$5.0
6799	Investors, N.E.C. \$5.0



DIVISION H -- FINANCE, INSURANCE, AND REAL ESTATE(13)

MAJOR 60 -- DEPOSITORY INSTITUTIONS

6021*	...	National Commercial Banks	\$100 Million(7)
6022	State Commercial Banks	\$100 Million(7)
6029*	...	Commercial Banks, N.E.C.	\$100 Million(7)
6035*	...	Savings Institutions, Federally Chartered	\$100 Million(7)
6036*	...	Savings Institutions, Not Federally Chartered	\$100 Million(7)
6061	Credit Unions, Federally Chartered	\$100 Million(7)
6062	Credit Unions, Not Federally Chartered.....	\$100 Million(7)
6081	Branches and Agencies of Foreign Banks	\$100 Million(7)
6082	Foreign Trade and International Banks	\$100 Million(7)
6091	Nondeposit Trust Facilities \$5.0
6099	Functions Related to Depositor Banking, N.E.C.. \$5.0

MAJOR GROUP 61--NONDEPOSITORY INSTITUTION

6141	Personal Credit Institutions \$5.0
6153	Short-Term Business Credit Institutions, Except Agriculture \$5.0
6159	Miscellaneous Business Credit Institutions \$5.0
6162	Mortgage Bankers and Loan Correspondents \$5.0
6163	Loan Brokers \$5.0

MAJOR GROUP 62--SECURITY AND COMMODITY BROKERS, DEALERS, EXCHANGES AND SERVICES

6211	Security Brokers, Dealers and Flotation Companies \$5.0
6221	Commodity Contracts Brokers and Dealers \$5.0
6231	Security and Commodity Exchanges \$5.0
6282	Investment Advice \$5.0
6289	Services Allied With the Exchange of Securities or Commodities, N.E.C. \$5.0

MAJOR GROUP 63--INSURANCE CARRIERS

6311	Life Insurance \$5.0
6321	Accident and Health Insurance \$5.0
6324	Hospital and Medical Service Plans \$5.0
6331	Fire, Marine, and Casualty Insurance 1,500
6351	Surety Insurance \$5.0
6361	Title Insurance \$5.0
6371	Pension, Health and Welfare Funds \$5.0
6399	Insurance Carriers, N.E.C. \$5.0

MAJOR GROUP 64--INSURANCE AGENTS, BROKERS, AND SERVICE

6411	Insurance Agents, Brokers, and Service \$5.0
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5699	Miscellaneous Apparel and Accessory Stores	\$5.0
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MAJOR GROUP 57--HOME FURNITURE, FURNISHINGS, AND EQUIPMENT STORES

5712	Furniture Stores	\$5.0
5713	Floor Covering Stores	\$5.0
5714	Drapery, Curtain, and Upholstery Stores	\$5.0
5719	Miscellaneous Homefurnishings Stores	\$5.0
5722	Household Appliance Stores	\$6.5
5731*	...	Radio, Television, and Consumer Electronics Stores	\$6.5
5734*	...	Computer and Computer Software Stores	\$6.5
5735*	...	Record and Prerecorded Tape Stores	\$5.0
5736*	...	Musical Instrument Stores	\$5.0

MAJOR GROUP 58--EATING AND DRINKING PLACES

5812	Eating Places, Except Food Service, Institutional	\$5.0
5812	Food Service, Institutional	\$15.0
5813	Drinking Places (Alcoholic Beverages)	\$5.0

MAJOR GROUP 59--MISCELLANEOUS RETAIL

5912	Drug Stores and Proprietary Stores	\$5.0
5921	Liquor Stores	\$5.0
5932*	...	Used Merchandise Stores	\$5.0
5941	Sporting Goods Stores and Bicycle Shops	\$5.0
5942	Book Stores	\$5.0
5943	Stationery Stores	\$5.0
5944	Jewelry Stores	\$5.0
5945	Hobby, Toy, and Game Shops	\$5.0
5946	Camera and Photographic Supply Stores	\$5.0
5947	Gift, Novelty, and Souvenir Shops	\$5.0
5948	Luggage and Leather Goods Stores	\$5.0
5949	Sewing, Needlework, and Piece Goods Stores	\$5.0
5961	Catalog and Mail-Order Houses	\$18.5
5962	Automatic Merchandising Machine Operators	\$5.0
5963	Direct Selling Establishments	\$5.0
5983	Fuel Oil Dealers	\$9.0
5984	Liquefied Petroleum Gas (Bottled Gas) Dealers	\$5.0
5989*	...	Fuel Dealers, N.E.C.	\$5.0
5992	Florists	\$5.0
5993	Tobacco Stores and Stands	\$5.0
5994	News Dealers and Newsstands	\$5.0
5995*	...	Optical Goods Stores	\$5.0
5999	Miscellaneous Retail Stores, N.E.C.	\$5.0



DIVISION G -- RETAIL TRADE

(Not Applicable to Government procurement of supplies.
The nonmanufacturer size standard of 500 employees shall
be used for purposes of Government procurement of supplies.)

MAJOR GROUP 52-- BUILDING MATERIALS, HARDWARE, GARDEN SUPPLY, AND MOBILE HOME DEALERS

5211	Lumber and Other Building Materials Dealers	\$5.0
5231	Paint, Glass, and Wallpaper Stores	\$5.0
5251	Hardware Stores	\$5.0
5261	Retail Nurseries, Lawn and Garden Supply Stores	\$5.0
5271	Mobile Home Dealers	\$9.5

MAJOR GROUP 53--GENERAL MERCHANDISE STORES

5311	Department Stores	\$20.0
5331	Variety Stores	\$8.0
5399	Miscellaneous General Merchandise Stores	\$5.0

MAJOR GROUP 54--FOOD STORES

5411	Grocery Stores	\$20.0
5421*	...	Meat and Fish (Seafood) Markets, Including Freezer Provisioners	\$5.0
5431	Fruit and Vegetable Markets	\$5.0
5441	Candy, Nut, and Confectionery Stores	\$5.0
5451	Dairy Products Stores	\$5.0
5461*	...	Retail Bakeries	\$5.0
5499	Miscellaneous Food Stores	\$5.0

MAJOR GROUP 55--AUTOMOTIVE DEALERS AND GASOLINE SERVICE STATIONS

5511	Motor Vehicle Dealers (New and Used)	\$21.0
5521	Motor Vehicle Dealers (Used Only)	\$17.0
5531	Auto and Home Supply Stores	\$5.0
5541	Gasoline Service Stations	\$6.5
5551	Boat Dealers	\$5.0
5561	Recreational Vehicle Dealers	\$5.0
5571	Motorcycle Dealers	\$5.0
5599	Automotive Dealers, N.E.C. (12)	\$5.0

MAJOR GROUP 56--APPAREL AND ACCESSORY STORES

5611	Men's and Boys' Clothing and Accessory Stores	\$6.5
5621	Women's Clothing Stores	\$6.5
5632*	...	Women's Accessory and Specialty Stores	\$5.0
5641	Children's and Infants' Wear Stores	\$5.0
5651	Family Clothing Stores	\$6.5
5661	Shoe Stores	\$6.5



5099	Durable Goods, N.E.C.	100
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MAJOR GROUP 51--WHOLESALE TRADE---NONDURABLE GOODS

5111	Printing and Writing Paper	100
5112	Stationery and Office Supplies	100
5113	Industrial and Personal Service Paper	100
5122	Drugs, Drug Proprietaries, and Druggists'	
		Sundries	100
5131*	...	Piece Goods, Notions, and Other Dry Goods	100
5136	Men's and Boys' Clothing and Furnishings	100
5137	Women's, Children's, and Infants' Clothing	
		and Accessories	100
5139	Footwear	100
5141	Groceries, General Line	100
5142	Packaged Frozen Foods	100
5143	Dairy Products, Except Dried or Canned	100
5144	Poultry and Poultry Products	100
5145	Confectionery	100
5146	Fish and Seafood	100
5147	Meats and Meat Products	100
5148	Fresh Fruits and Vegetables	100
5149	Groceries and Related Products, N.E.C.	100
5153	Grain and Field Beans	100
5154	Livestock	100
5159	Farm-Product Raw Materials, N.E.C.	100
5162*	...	Plastics Materials and Basic Forms and Shapes .	100
5169*	...	Chemical and Allied Products, N.E.C.	100
5171	Petroleum Bulk Stations and Terminals	100
5172	Petroleum and Petroleum Products Wholesalers,	
		Except Bulk Stations and Terminals	100
5181	Beer and Ale	100
5182	Wine and Distilled Alcoholic Beverages	100
5191	Farm Supplies	100
5192*	...	Books, Periodicals, and Newspapers	100
5193*	...	Flowers, Nursery Stock, and Florists' Supplies	100
5194	Tobacco and Tobacco Products	100
5198	Paints, Varnishes, and Supplies	100
5199	Nondurable Goods, N.E.C.	100



DIVISION F -- WHOLESALE TRADE

(Not Applicable to Government procurement of supplies.
The nonmanufacturer size standard of 500 employees shall
be used for purposes of Government procurement of supplies.)

MAJOR GROUP 50--WHOLESALE TRADE---DURABLE GOODS

5012	Automobiles and Other Motor Vehicles	100
5013	Motor Vehicle Supplies and New Parts	100
5014	Tires and Tubes	100
5015* ...	Motor Vehicle Parts, Used	100
5021	Furniture	100
5023	Homefurnishings	100
5031	Lumber, Plywood, Millwork, and Wood Panels	100
5032* ...	Brick, Stone, and Related Construction Materials	100
5033* ...	Roofing, Siding, and Insulation Materials	100
5039	Construction Materials, N.E.C.	100
5043	Photographic Equipment and Supplies	100
5044*	Office Equipment	100
5045* ...	Computers and Computer Peripheral Equipment and Software	100
5046* ...	Commercial Equipment, N.E.C.	100
5047* ...	Medical, Dental, and Hospital Equipment and Supplies	100
5048* ...	Ophthalmic Goods	100
5049* ...	Professional Equipment and Supplies, N.E.C. ...	100
5051	Metals Service Centers and Offices	100
5052	Coal and Other Minerals and Ores	100
5063 ...	Electrical Apparatus and Equipment, Wiring Supplies, and Construction Materials.....	100
5064	Electrical Appliances, Television and Radio Sets	100
5065	Electronic Parts and Equipment, N.E.C.	100
5072	Hardware	100
5074	Plumbing and Heating Equipment and Supplies (Hydronics)	100
5075	Warm Air Heating and Air-Conditioning Equipment and Supplies	100
5078	Refrigeration Equipment and Supplies	100
5082	Construction and Mining (Except Petroleum) Machinery and Equipment	100
5083	Farm and Garden Machinery and Equipment	100
5084	Industrial Machinery and Equipment	100
5085	Industrial Supplies	100
5087	Service Establishment Equipment and Supplies ..	100
5088	Transportation Equipment and Supplies, Except Motor Vehicles	100
5091* ...	Sporting and Recreational Goods and Supplies	100
5092* ...	Toys and Hobby Goods and Supplies	100
5093	Scrap and Waste Materials	100
5094	Jewelry, Watches, Precious Stones, and Precious Metals	100



4953		Refuse Systems	\$6.0 (11)
4959		Sanitary Services, N.E.C.	\$5.0
4961		Steam and Air-Conditioning Supply	\$9.0
4971		Irrigation Systems	\$5.0

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MAJOR GROUP 45--TRANSPORTATION BY AIR(8)

4512*	...	Air Transportation, Scheduled	1,500 (9)
4513*	...	Air Courier Services	1,500 (9)
4522*	...	Air Transportation, Nonscheduled	1,500 (9)
4581*	...	Airports, Flying Fields, and Airport Terminal Services	\$5.0

MAJOR GROUP 46--PIPELINES, EXCEPT NATURAL GAS

4612	Crude Petroleum Pipelines	1,500
4613	Refined Petroleum Pipelines	1,500
4619	Pipelines, N.E.C.	\$25.0

MAJOR GROUP 47--TRANSPORTATION SERVICES

4724*	...	Travel Agencies	\$1.0 (6)
4725*	...	Tour Operators	\$5.0
4729*	...	Arrangement of Passenger Transportation, N.E.C.	\$5.0
4731*	...	Arrangement of Transportation of Freight and Cargo	\$18.5
4741*	...	Rental of Railroad Cars	\$5.0
4783	Packing and Crating	\$18.5
4785*	...	Fixed Facilities and Inspection and Weighing Services for Motor Vehicle Transportation ...	\$5.0
4789	Transportation Services, N.E.C.	\$5.0

MAJOR GROUP 48--COMMUNICATIONS

4812*	...	Radiotelephone Communications	1,500
4813*	...	Telephone Communications, Except Radiotelephone	1,500
4822	...	Telegraph and Other Message Communications	\$5.0
4832	Radio Broadcasting Stations	\$5.0
4833	Television Broadcasting Stations	\$10.5
4841*	...	Cable and Other Pay Television Services	\$11.0
4899	Communications Services, N.E.C.	\$11.0

MAJOR GROUP 49--ELECTRIC, GAS, AND SANITARY SERVICES

4911	Electric Services (22).....	4 million megawatt hrs.
4922	Natural Gas Transmission	\$5.0
4923	Gas Transmission and Distribution	\$5.0
4924	Natural Gas Distribution	500
4925	Mixed, Manufactured, or Liquefied Petroleum ... Gas Production and/or Distribution	\$5.0
4931	Electric and Other Services Combined	\$5.0
4932	Gas and Other Services Combined	\$5.0
4939	Combination Utilities, N.E.C.	\$5.0
4941	Water Supply	\$5.0
4952	Sewerage Systems	\$5.0



**DIVISION E -- TRANSPORTATION, COMMUNICATIONS ELECTRIC,
GAS AND SANITARY SERVICES**

MAJOR GROUP 40--RAILROAD TRANSPORTATION

4011	Railroads, Line-Haul Operating 1,500
4013	Railroad Switching and Terminal Establishments 500

MAJOR GROUP 41--LOCAL AND SUBURBAN TRANSIT AND INTERURBAN
HIGHWAY PASSENGER TRANSPORTATION

4111	Local and Suburban Transit \$5.0
4119	Local Passenger Transportation, N.E.C..... \$5.0
4121	Taxicabs \$5.0
4131	Intercity and Rural Bus Transportation \$5.0
4141	Local Bus Charter Service \$5.0
4142	Bus Charter Service, Except Local..... \$5.0
4151	School Buses \$5.0
4173* ...	Terminal and Service Facilities for Motor Vehicle Passenger Transportation \$5.0

MAJOR GROUP 42--MOTOR FREIGHT TRANSPORTATION AND WAREHOUSING

4212	Garbage and refuse collection, w/out disposal.. \$06.0
4213	Trucking, Except Local \$18.5
4214	Local Trucking With Storage \$18.5
4215* ...	Courier Services, Except by Air \$18.5
4221	Farm Product Warehousing and Storage \$18.5
4222	Refrigerated Warehousing and Storage \$18.5
4225	General Warehousing and Storage \$18.5
4226	Special Warehousing and Storage, N.E.C. \$18.5
4231	Terminal and Joint Terminal Maintenance Facilities for Motor Freight Transportation \$5.0

MAJOR GROUP 44--WATER TRANSPORTATION(8)

4412	Deep Sea Foreign Transportation of Freight 500
4424* ...	Deep Sea Domestic Transportation of Freight 500
4432* ...	Freight Transportation on the Great Lakes-- St. Lawrence Seaway 500
4449* ...	Water Transportation of Freight, N.E.C. 500
4481* ...	Deep Sea Transportation of Passengers, Except by Ferry 500
4482* ...	Ferries 500
4489* ...	Water Transportation of Passengers, N.E.C. 500
4491* ...	Marine Cargo Handling \$18.5
4492* ...	Towing and Tugboat Services \$5.0
4493* ...	Marinas \$5.0
4499* ...	Water Transportation Services, N.E.C. \$5.0



3942	Dolls and Stuffed Toys	500
3944	Games, Toys, and Children's Vehicles, Except Dolls and Bicycles	500
3949	Sporting and Athletic Goods, N.E.C.	500
3951	Pens, Mechanical Pencils, and Parts.....	500
3952	Lead Pencils, Crayons, and Artists' Materials	500
3953	Marking Devices	500
3955	Carbon Paper and Inked Ribbons	500
3961	Costume Jewelry and Costume Novelties, Except Precious Metal	500
3965*	...	Fasteners, Buttons, Needles, and Pins	500
3991	Brooms and Brushes	500
3993	Signs and Advertising Specialties	500
3995	Burial Caskets	500
3996	Linoleum, Asphalted-Felt-Base, and Other Hard Surface Floor Coverings, N.E.C.	750
3999	Manufacturing Industries, N.E.C.	500



3732	Boat Building and Repairing	500
3743	Railroad Equipment	1,000
3751	Motorcycles, Bicycles, and Parts	500
3761	Guided Missiles and Space Vehicles	1,000
3764	Guided Missile and Space Vehicle Propulsion Units and Propulsion Unit Parts	1,000
3769	Guided Missile and Space Vehicle Parts and Auxiliary Equipment, N.E.C.	1,000
3792	Travel Trailers and Campers	500
3795	Tanks and Tank Components	1,000
3799	Transportation Equipment, N.E.C.	500

MAJOR GROUP 38--MEASURING, ANALYZING, AND CONTROLLING INSTRUMENTS;
PHOTOGRAPHIC, MEDICAL, AND OPTICAL GOODS; WATCHES AND CLOCKS

3812* ...	Search, Detection, Navigation, Guidance, Aeronautical, and Nautical Systems and Instruments	750
3821* ...	Laboratory Apparatus and Furniture	500
3822	Automatic Controls for Regulating Residential and Commercial Environments and Appliances	500
3823	Industrial Instruments for Measurement, Display, and Control of Process Variables; and Related Products	500
3824	Totalizing Fluid Meters and Counting Devices ..	500
3825	Instruments for Measuring and Testing of Electricity and Electrical Signals	500
3826* ...	Laboratory Analytical Instruments	500
3827* ...	Optical Instruments and Lenses	500
3829	Measuring and Controlling Devices, N.E.C.	500
3841	Surgical and Medical Instruments and Apparatus	500
3842	Orthopedic, Prosthetic, and Surgical Appliances and Supplies	500
3843	Dental Equipment and Supplies	500
3844* ...	X-Ray Apparatus and Tubes and Related Irradiation Apparatus	500
3845* ...	Electromedical and Electrotherapeutic Apparatus	500
3851	Ophthalmic Goods	500
3861	Photographic Equipment and Supplies	500
3873	Watches, Clocks, Clockwork Operated Devices, and Parts	500

MAJOR GROUP 39--MISCELLANEOUS MANUFACTURING INDUSTRIES

3911	Jewelry, Precious Metal	500
3914	Silverware, Plated Ware, and Stainless Steel Ware	500
3915	Jewelers' Findings and Materials, and Lapidary Work	500
3931	Musical Instruments	500



	Electric Lighting Fixtures	500
3647	Vehicular Lighting Equipment	500
3648	Lighting Equipment, N.E.C.	500
3651	Household Audio and Video Equipment	750
3652	Phonograph Records and Prerecorded Audio Tapes and Disks	750
3661	Telephone and Telegraph Apparatus	1,000
3663* ...	Radio and Television Broadcasting and Communications Equipment	750
3669* ...	Communications Equipment, N.E.C.	750
3671	Electron Tubes	750
3672* ...	Printed Circuit Boards	500
3674	Semiconductors and Related Devices	500
3675	Electronic Capacitors	500
3676	Electronic Resistors	500
3677	Electronic Coils, Transformers, and Other Inductors	500
3678	Electronic Connectors	500
3679	Electronic Components, N.E.C.	500
3691	Storage Batteries	500
3692	Primary Batteries, Dry and Wet	1,000
3694	Electrical Equipment for Internal Combustion Engines	750
3695* ...	Magnetic and Optical Recording Media	1,000
3699	Electrical Machinery, Equipment, and Supplies, N.E.C.	750

MAJOR GROUP 37--TRANSPORTATION EQUIPMENT

3711	Motor Vehicles and Passenger Car Bodies	1,000
3713	Truck and Bus Bodies	500
3714	Motor Vehicle Parts and Accessories	750
3715	Truck Trailers	500
3716	Motor Homes	1,000
3721	Aircraft	1,500
3724	Aircraft Engines and Engine Parts	1,000
3728	Aircraft Parts and Auxiliary Equipment, N.E.C..	1,000 (9)
3731.....	Shipbuilding and Repair of Nuclear Propelled Ships	1,000
	Shipbuilding of Nonnuclear Propelled Ships and Nonpropelled Ships	1,000
	Ship Repair (Including Overhauls and Conversions) Performed on Nonnuclear Propelled and Nonpropelled Ships East of the 108 Meridian	1,000
	Ship Repair (Including Overhauls and Conversions) Performed on Nonnuclear Propelled and Nonpropelled Ships West of the 108 Meridian	1,000



	and Air Purification Equipment	500
3565* ...	Packaging Machinery	500
3566	Speed Changers, Industrial High-Speed Drives, and Gears	500
3567	Industrial Process Furnaces and Ovens	500
3568	Mechanical Power Transmission Equipment, N.E.C.	500
3569	General Industrial Machinery and Equipment, N.E.C.	500
3571* ...	Electronic Computers	1,000
3572* ...	Computer Storage Devices	1,000
3575* ...	Computer Terminals	1,000
3577* ...	Computer Peripheral Equipment, N.E.C.	1,000
3578* ...	Calculating and Accounting Machines, Except Electronic Computers	1,000
3579	Office Machines, N.E.C.	500
3581	Automatic Vending Machines	500
3582	Commercial Laundry, Drycleaning, and Pressing Machines	500
3585	Air-Conditioning and Warm Air Heating Equipment and Commercial and Industrial Refrigeration Equipment	750
3586	Measuring and Dispensing Pumps	500
3589	Service Industry Machinery, N.E.C.	500
3592	Carburetors, Pistons, Piston Rings, and Valves	500
3593* ...	Fluid Power Cylinders and Actuators	500
3594* ...	Fluid Power Pumps and Motors	500
3596* ...	Scales and Balances, Except Laboratory	500
3599	Industrial and Commercial Machinery and Equipment, N.E.C.	500

MAJOR GROUP 36--ELECTRONIC AND OTHER ELECTRICAL EQUIPMENT AND COMPONENTS,
EXCEPT COMPUTER EQUIPMENT

3612	Power, Distribution, and Specialty Transformers	750
3613	Switchgear and Switchboard Apparatus	750
3621	Motors and Generators	1,000
3624	Carbon and Graphite Products	750
3625* ...	Relays and Industrial Controls	750
3629	Electrical Industrial Apparatus, N.E.C.	500
3631	Household Cooking Equipment	750
3632	Household Refrigerators and Home and Farm Freezers	1,000
3633	Household Laundry Equipment	1,000
3634	Electric Housewares and Fans	750
3635	Household Vacuum Cleaners	750
3639	Household Appliances, N.E.C.	500
3641	Electric Lamp Bulbs and Tubes	1,000
3643	Current-Carrying Wiring Devices	500
3644	Noncurrent-Carrying Wiring Devices	500
3645	Residential Electric Lighting Fixtures	500
3646	Commercial, Industrial, and Institutional	



3489	Ordnance and Accessories, N.E.C.	500
3491*	...	Industrial Valves	500
3492*	...	Fluid Power Valves and Hose Fittings	500
3493	Steel Springs, Except Wire	500
3494	Valves and Pipe Fittings, N.E.C.	500
3495	Wire Springs	500
3496	Miscellaneous Fabricated Wire Products.....	500
3497	Metal Foil and Leaf	500
3498	Fabricated Pipe and Pipe Fittings	500
3499	Fabricated Metal Products, N.E.C.	500

MAJOR GROUP 35 -- INDUSTRIAL AND COMMERCIAL MACHINERY AND COMPUTER EQUIPMENT

3511	Steam, Gas, and Hydraulic Turbines, and Turbine Generator Set Units	1,000
3519	Internal Combustion Engines, N.E.C.	1,000
3523	Farm Machinery and Equipment	500
3524	Lawn and Garden Tractors and Home Lawn and Garden Equipment	500
3531	Construction Machinery and Equipment	750
3532	Mining Machinery and Equipment, Except Oil and Gas Field Machinery and Equipment	500
3533	Oil and Gas Field Machinery and Equipment	500
3534	Elevators and Moving Stairways	500
3535	Conveyors and Conveying Equipment	500
3536	Overhead Traveling Cranes, Hoists, and Monorail Systems	500
3537	Industrial Trucks, Tractors, Trailers, and Stackers	750
3541	Machine Tools, Metal Cutting Types	500
3542	Machine Tools, Metal Forming Types	500
3543*	...	Industrial Patterns	500
3544	Special Dies and Tools, Die Sets, Jigs and Fixtures, and Industrial Molds	500
3545	Cutting Tools, Machine Tool Accessories, and Machinists' Precision Measuring Devices	500
3546	Power-Driven Handtools	500
3547	Rolling Mill Machinery and Equipment	500
3548*	...	Electric and Gas Welding and Soldering Equipment	500
3549	Metalworking Machinery, N.E.C.	500
3552	Textile Machinery	500
3553	Woodworking Machinery	500
3554	Paper Industries Machinery	500
3555	Printing Trades Machinery and Equipment	500
3556*	...	Food Products Machinery	500
3559	Special Industry Machinery, N.E.C.	500
3561	Pumps and Pumping Equipment	500
3562	Ball and Roller Bearings	750
3563	Air and Gas Compressors	500
3564	Industrial and Commercial Fans and Blowers	



	Metals	500
3351	Rolling, Drawing, and Extruding of Copper	750
3353	Aluminum Sheet, Plate, and Foil	750
3354	Aluminum Extruded Products	750
3355	Aluminum Rolling and Drawing, N.E.C.	750
3356	Rolling, Drawing, and Extruding of Nonferrous Metals, Except Copper and Aluminum	750
3357	Drawing and Insulating of Nonferrous Wire	1,000
3363* ...	Aluminum Die-Castings	500
3364* ...	Nonferrous Die-Castings, Except Aluminum	500
3365* ...	Aluminum Foundries	500
3366* ...	Copper Foundries	500
3369 ...	Nonferrous Foundries, Except Aluminum and Copper	500
3398	Metal Heat Treating	750
3399	Primary Metal Products, N.E.C.	750

MAJOR GROUP 34--FABRICATED METAL PRODUCTS, EXCEPT MACHINERY AND TRANSPORTATION
EQUIPMENT

3411	Metal Cans	1,000
3412	Metal Shipping Barrels, Drums, Kegs, and Pails	500
3421	Cutlery	500
3423	Hand and Edge Tools, Except Machine Tools and Handsaws	500
3425	Saw Blades and Handsaws	500
3429	Hardware, N.E.C.	500
3431	Enameled Iron and Metal Sanitary Ware	750
3432	Plumbing Fixture Fittings and Trim	500
3433	Heating Equipment, Except Electric and Warm Air Furnaces	500
3441	Fabricated Structural Metal	500
3442	Metal Doors, Sash, Frames, Molding, and Trim ..	500
3443	Fabricated Plate Work (Boiler Shops)	500
3444	Sheet Metal Work	500
3446	Architectural and Ornamental Metal Work	500
3448	Prefabricated Metal Buildings and Components ..	500
3449	Miscellaneous Structural Metal Work	500
3451	Screw Machine Products	500
3452	Bolts, Nuts, Screws, Rivets, and Washers	500
3462	Iron and Steel Forgings	500
3463	Nonferrous Forgings	500
3465	Automotive Stampings	500
3466	Crowns and Closures	500
3469	Metal Stampings, N.E.C.	500
3471	Electroplating, Plating, Polishing, Anodizing, and Coloring	500
3479	Coating, Engraving, and Allied Services, N.E.C.	500
3482	Small Arms Ammunition	1,000
3483	Ammunition, Except for Small Arms	1,500
3484	Small Arms	1,000



3199	Leather Goods, N.E.C.	500
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MAJOR GROUP 32--STONE, CLAY, GLASS, AND CONCRETE PRODUCTS					
-----+-----+-----					
3211	Flat Glass	1,000
3221	Glass Containers	750
3229	Pressed and Blown Glass and Glassware, N.E.C.	750
3231	Glass Products, Made of Purchased Glass	500
3241	Cement, Hydraulic	750
3251	Brick and Structural Clay Tile	500
3253	Ceramic Wall and Floor Tile	500
3255	Clay Refractories	500
3259	Structural Clay Products, N.E.C.	500
3261	Vitreous China Plumbing Fixtures and China and Earthenware Fittings and Bathroom Accessories	750
3262	Vitreous China Table and Kitchen Articles	500
3263	Fine Earthenware (Whiteware) Table and Kitchen Articles	500
3264	Porcelain Electrical Supplies	500
3269	Pottery Products, N.E.C.	500
3271	Concrete Block and Brick	500
3272	Concrete Products, Except Block and Brick	500
3273	Ready Mixed Concrete	500
3274	Lime	500
3275	Gypsum Products	1,000
3281	Cut Stone and Stone Products	500
3291	Abrasive Products	500
3292	Asbestos Products	750
3295	Minerals and Earths, Ground or Otherwise Treated		500
3296	Mineral Wool	750
3297	Nonclay Refractories	750
3299	Nonmetallic Mineral Products, N.E.C.	500
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MAJOR GROUP 33--PRIMARY METAL INDUSTRIES					
-----+-----+-----					
3312	Steel Works, Blast Furnaces (Including Coke Ovens), and Rolling Mills	1,000
3313	Electrometallurgical Products, Except Steel	750
3315	Steel Wiredrawing and Steel Nails and Spikes	1,000
3316	Cold-Rolled Steel Sheet, Strip, and Bars	1,000
3317	Steel Pipe and Tubes	1,000
3321	Gray and Ductile Iron Foundries	500
3322	Malleable Iron Foundries	500
3324	Steel Investment Foundries	500
3325	Steel Foundries, N.E.C.	500
3331	Primary Smelting and Refining of Copper	1,000
3334	Primary Production of Aluminum	1,000
3339	Primary Smelting and Refining of Nonferrous Metals, Except Copper and Aluminum	750
3341	Secondary Smelting and Refining of Nonferrous			



2873	Nitrogenous Fertilizers	1,000
2874	Phosphatic Fertilizers	500
2875	Fertilizers, Mixing Only	500
2879	Pesticides and Agricultural Chemicals, N.E.C. .	500
2891	Adhesives and Sealants	500
2892	Explosives	750
2893	Printing Ink	500
2895	Carbon Black	500
2899	Chemicals and Chemical Preparations, N.E.C. ...	500

MAJOR GROUP 29--PETROLEUM REFINING AND RELATED INDUSTRIES

2911	Petroleum Refining	1,500 (4)
2951	Asphalt Paving Mixtures and Blocks	500
2952	Asphalt Felts and Coatings	750
2992	Lubricating Oils and Greases	500
2999	Products of Petroleum and Coal, N.E.C.	500

MAJOR GROUP 30--RUBBER AND MISCELLANEOUS PLASTICS PRODUCTS

3011	Tires and Inner Tubes	1,000 (6)
3021	Rubber and Plastics Footwear	1,000
3052*	...	Rubber and Plastics Hose and Belting	500
3053*	...	Gaskets, Packing, and Sealing Devices	500
3061*	...	Molded, Extruded, and Lathe-Cut Mechanical Rubber Goods	500
3069	Fabricated Rubber Products, N.E.C	500
3081*	...	Unsupported Plastics Film and Sheet	500
3082*	...	Unsupported Plastics Profile Shapes	500
3083*	...	Laminated Plastics Plate, Sheet, and Profile Shapes	500
3084*	...	Plastics Pipe.....	500
3085*	...	Plastics Bottles.....	500
3086*	...	Plastics Foam Products	500
3087*	...	Custom Compounding of Purchased Plastics Resins	500
3088*	...	Plastics Plumbing Fixtures	500
3089*	...	Plastics Products, N.E.C.	500

MAJOR GROUP 31--LEATHER AND LEATHER PRODUCTS

3111	Leather Tanning and Finishing	500
3131	Boot and Shoe Cut Stock and Findings	500
3142	House Slippers	500
3143	Men's Footwear, Except Athletic	500
3144	Women's Footwear, Except Athletic	500
3149	Footwear, Except Rubber, N.E.C.	500
3151	Leather Gloves and Mittens	500
3161	Luggage	500
3171	Women's Handbags and Purses	500
3172	Personal Leather Goods, Except Women's Handbags and Purses	500



2679*	...	Converted Paper and Paperboard Products, N.E.C	500
-----+-----+-----				
MAJOR GROUP 27--PRINTING, PUBLISHING, AND ALLIED INDUSTRIES				
-----+-----+-----				
2711	Newspapers: Publishing, or Publishing and Printing	500
2721	Periodicals: Publishing, or Publishing and Printing	500
2731	Books: Publishing, or Publishing and Printing	500
2732	Book Printing	500
2741	Miscellaneous Publishing	500
2752	Commercial Printing, Lithographic	500
2754	Commercial Printing, Gravure	500
2759*	...	Commercial Printing, N.E.C.	500
2761	Manifold Business Forms	500
2771	Greeting Cards	500
2782	Blankbooks, Looseleaf Binders and Devices	500
2789	Bookbinding and Related Work	500
2791	Typesetting	500
2796*	...	Platemaking and Related Services	500
-----+-----+-----				
MAJOR GROUP 28--CHEMICALS AND ALLIED PRODUCTS				
-----+-----+-----				
2812	Alkalies and Chlorine	1,000
2813	Industrial Gases	1,000
2816	Inorganic Pigments	1,000
2819	Industrial Inorganic Chemicals, N.E.C	1,000
2821	Plastics Materials, Synthetic Resins, and Nonvulcanizable Elastomers	750
2822	Synthetic Rubber (Vulcanizable Elastomers)	1,000
2823	Cellulosic Manmade Fibers	1,000
2824	Manmade Organic Fibers, Except Cellulosic	1,000
2833	Medicinal Chemicals and Botanical Products	750
2834	Pharmaceutical Preparations	750
2835*	...	In Vitro and In Vivo Diagnostic Substances	500
2836*	...	Biological Products, Except Diagnostic Substances	500
2841	Soap and Other Detergents, Except Specialty Cleaners	750
2842	Specialty Cleaning, Polishing, and Sanitation Preparations	500
2843	Surface Active Agents, Finishing Agents, Sulfonated Oils, and Assistants	500
2844	Perfumes, Cosmetics, and Other Toilet Preparations	500
2851	Paints, Varnishes, Lacquers, Enamels, and Allied Products	500
2861	Gum and Wood Chemicals	500
2865	Cyclic Organic Crudes and Intermediates, and Organic Dyes and Pigments	750
2869	Industrial Organic Chemicals, N.E.C	1,000



2434	Wood Kitchen Cabinets	500
2435	Hardwood Veneer and Plywood	500
2436	Softwood Veneer and Plywood	500
2439	Structural Wood Members, N.E.C.	500
2441	Nailed and Lock Corner Wood Boxes and Shook ...	500
2448	Wood Pallets and Skids	500
2449	Wood Containers, N.E.C.	500
2451	Mobile Homes	500
2452	Prefabricated Wood Buildings and Components ...	500
2491	Wood Preserving	500
2493*	...	Reconstituted Wood Products	500
2499	Wood Products, N.E.C.	500

MAJOR GROUP 25--FURNITURE AND FIXTURES

2511	Wood Household Furniture, Except Upholstered ..	500
2512	Wood Household Furniture, Upholstered	500
2514	Metal Household Furniture	500
2515	Mattresses, Foundations, and Convertible Beds .	500
2517	Wood Television, Radio, Phonograph, and Sewing Machine Cabinets	500
2519	Household Furniture, N.E.C.	500
2521	Wood Office Furniture	500
2522	Office Furniture, Except Wood	500
2531	Public Building and Related Furniture	500
2541	Wood Office and Store Fixtures, Partitions, Shelving, and Lockers	500
2542	Office and Store Fixtures, Partitions, Shelving, and Lockers, Except Wood	500
2591	Drapery Hardware and Window Blinds and Shades .	500
2599	Furniture and Fixtures, N.E.C.	500

MAJOR GROUP 26--PAPER AND ALLIED PRODUCTS

2611	Pulp Mills	750
2621	Paper Mills	750
2631	Paperboard Mills	750
2652	Setup Paperboard Boxes	500
2653	Corrugated and Solid Fiber Boxes	500
2655	Fiber Cans, Tubes, Drums, and Similar Products	500
2656*	...	Sanitary Food Containers, Except Folding	750
2657*	...	Folding Paperboard Boxes, Including Sanitary ..	750
2671*	...	Packaging Paper and Plastics Film, Coated and Laminated	500
2672*	...	Coated and Laminated Paper, N.E.C.	500
2673*	...	Plastics, Foil, and Coated Paper Bags	500
2674*	...	Uncoated Paper and Multiwall Bags	500
2675*	...	Die-Cut Paper and Paperboard and Cardboard	500
2676*	...	Sanitary Paper Products	500
2677*	...	Envelopes	500
2678*	...	Stationery, Tablets, and Related Products	500



MAJOR GROUP 23--APPAREL AND OTHER FINISHED PRODUCTS MADE FROM FABRICS AND
SIMILAR MATERIALS

2311	Men's and Boys' Suits, Coats and Overcoats	500
2321	Men's and Boys' Shirts, Except Work Shirts	500
2322	Men's and Boys' Underwear and Nightwear	500
2323	Men's and Boys' Neckwear	500
2325*	...	Men's and Boys' Separate Trousers and Slacks	500
2326*	...	Men's and Boys' Work Clothing	500
2329	Men's and Boys' Clothing, N.E.C.	500
2331	Women's, Misses', and Juniors' Blouses and Shirts	500
2335	Women's, Misses', and Juniors' Dresses	500
2337	Women's, Misses', and Juniors' Suits, Skirts, and Coats	500
2339	Women's, Misses', and Juniors' Outerwear, N.E.C	500
2341	Women's, Misses', Children's, and Infants' Underwear and Nightwear	500
2342	Brassieres, Girdles, and Allied Garments	500
2353*	...	Hats, Caps, and Millinery	500
2361	Girls', Children's, and Infants' Dresses, Blouses, and Shirts	500
2369	Girls', Children's, and Infants' Outerwear, N.E.C.	500
2371	Fur Goods	500
2381	Dress and Work Gloves, Except Knit and All-Leather	500
2384	Robes and Dressing Gowns	500
2385	Waterproof Outerwear	500
2386	Leather and Sheep-Lined Clothing	500
2387	Apparel Belts	500
2389	Apparel and Accessories, N.E.C.	500
2391	Curtains and Draperies	500
2392	Housefurnishings, Except Curtains and Draperies	500
2393	Textile Bags	500
2394	Canvas and Related Products	500
2395	Pleating, Decorative and Novelty Stitching, and Tucking for the Trade	500
2396	Automotive Trimmings, Apparel Findings, and Related Products	500
2397	Schiffli Machine Embroideries	500
2399	Fabricated Textile Products, N.E.C.	500

MAJOR GROUP 24--LUMBER AND WOOD PRODUCTS, EXCEPT FURNITURE

2411	Logging	500
2421	Sawmills and Planing Mills, General	500
2426	Hardwood Dimension and Flooring Mills	500
2429	Special Product Sawmills, N.E.C.	500
2431	Millwork	500



2084	Wines, Brandy, and Brandy Spirits	500
2085	Distilled and Blended Liquors	750
2086	Bottled and Canned Soft Drinks and Carbonated Waters	500
2087	Flavoring Extracts and Flavoring Syrups, N.E.C.	500
2091	Canned and Cured Fish and Seafoods	500
2092	Prepared Fresh or Frozen Fish and Seafoods	500
2095	Roasted Coffee	500
2096*	...	Potato Chips, Corn Chips, and Similar Snacks...	500
2097	Manufactured Ice	500
2098	Macaroni, Spaghetti, Vermicelli, and Noodles ..	500
2099	...	Food Preparations, N.E.C.	500

MAJOR GROUP 21--TOBACCO PRODUCTS

2111	Cigarettes	1,000
2121	Cigars	500
2131	Chewing and Smoking Tobacco and Snuff	500
2141	...	Tobacco Stemming and Redrying	500

MAJOR GROUP 22--TEXTILE MILL PRODUCTS

2211	Broadwoven Fabric Mills, Cotton.....	1,000
2221	Broadwoven Fabric Mills, Manmade Fiber and Silk	500
2231	Broadwoven Fabric Mills, Wool (Including Dyeing and Finishing)	500
2241	Narrow Fabric and Other Smallwares Mills: Cotton, Wool, Silk and Manmade Fiber	500
2251	Women's Full-Length and Knee-Length Hosiery, Except Socks	500
2252	Hosiery, N.E.C.	500
2253	Knit Outerwear Mills	500
2254	Knit Underwear and Nightwear Mills	500
2257	Weft Knit Fabric Mills	500
2258	Lace and Warp Knit Fabric Mills	500
2259	Knitting Mills, N.E.C.	500
2261	Finishers of Broadwoven Fabrics of Cotton	1,000
2262	Finishers of Broadwoven Fabrics of Manmade Fiber and Silk	500
2269	Finishers of Textiles, N.E.C.	500
2273*	...	Carpets and Rugs	500
2281	Yarn Spinning Mills	500
2282	Yarn Texturizing, Throwing, Twisting, and Winding Mills	500
2284	Thread Mills	500
2295	Coated Fabrics, Not Rubberized	1,000
2296	Tire Cord and Fabrics	1,000
2297	Nonwoven Fabrics	500
2298	Cordage and Twine	500
2299	Textile Goods, N.E.C.	500



----- | Base Housing Maintenance20 | \$7.0

DIVISION D--MANUFACTURING(3)

MAJOR GROUP 20 -- FOOD AND KINDRED PRODUCTS

2011	Meat Packing Plants	500
2013	Sausages and Other Prepared Meat Products	500
2015* ...	Poultry Slaughtering and Processing	500
2021	Creamery Butter	500
2022	Natural, Processed, and Imitation Cheese	500
2023	Dry, Condensed, and Evaporated Dairy Products .	500
2024	Ice Cream and Frozen Desserts	500
2026	Fluid Milk	500
2032	Canned Specialties	1,000
2033	Canned Fruits, Vegetables, Preserves, Jams, and Jellies .	500(3)
2034	Dried and Dehydrated Fruits, Vegetables, and Soup Mixes	500
2035	Pickled Fruits and Vegetables, Vegetable Sauces and Seasonings, and Salad Dressings	500
2037	Frozen Fruits, Fruit Juices, and Vegetables ...	500
2038	Frozen Specialties, N.E.C.	500
2041	Flour and Other Grain Mill Products	500
2043	Cereal Breakfast Foods	1,000
2044	Rice Milling	500
2045	Prepared Flour Mixes and Doughs	500
2046	Wet Corn Milling	750
2047	Dog and Cat Food	500
2048	Prepared Feeds and Feed Ingredients for Animals and Fowls, Except Dogs and Cats.....	500
2051	Bread and Other Bakery Products, Except Cookies and Crackers	500
2052	Cookies and Crackers	750
2053* ...	Frozen Bakery Products, Except Bread	500
2061	Cane Sugar, Except Refining	500
2062	Cane Sugar Refining	750
2063	Beet Sugar	750
2064* ...	Candy and Other Confectionery Products	500
2066	Chocolate and Cocoa Products	500
2067	Chewing Gum	500
2068* ...	Salted and Roasted Nuts and Seeds	500
2074	Cottonseed Oil Mills	500
2075	Soybean Oil Mills	500
2076	Vegetable Oil Mills, Except Corn, Cottonseed, and Soybean	1,000
2077	Animal and Marine Fats and Oils	500
2079	Shortening, Table Oils, Margarine, and Other Edible Fats and Oils, N.E.C.	750
2082	Malt Beverages	500
2083	Malt	500



DIVISION C--CONSTRUCTION

MAJOR GROUP 15--BUILDING CONSTRUCTION--GENERAL CONTRACTORS AND OPERATIVE BUILDERS

1521	General Contractors -- Single-Family Houses \$17.0
1522	General Contractors -- Residential Buildings, Other Than Single-Family \$17.0
1531	Operative Builders \$17.0
1541	General Contractors -- Industrial Buildings and Warehouses \$17.0
1542	General Contractors - Nonresidential Buildings, Other Than Industrial Buildings and Warehouses \$17.0

MAJOR 16--HEAVY CONSTRUCTION OTHER THAN BUILDING CONSTRUCTION--CONTRACTORS

1611	Highway and Street Construction, Except Elevated Highways \$17.0
1622	Bridge, Tunnel, and Elevated Highway Construction \$17.0
1623	Water, Sewer, Pipeline, and Communications and Power Line Construction \$17.0
1629	Heavy Construction, Except Dredging, N.E.C. \$17.0
1629	Dredging and Surface Cleanup Activities \$13.5(1)

MAJOR GROUP 17--CONSTRUCTION--SPECIAL TRADE CONTRACTORS

1711	Plumbing, Heating, and Air-Conditioning \$7.0
1721	Painting and Paper Hanging \$7.0
1731	Electrical Work \$7.0
1741	Masonry, Stone Setting, and Other Stone Work \$7.0
1742	Plastering, Drywall, Acoustical and Insulation Work \$7.0
1743	Terrazzo, Tile, Marble, and Mosaic Work \$7.0
1751	Carpentry Work \$7.0
1752	Floor Laying and Other Floor Work, N.E.C. \$7.0
1761	Roofing, Siding, and Sheet Metal Work \$7.0
1771	Concrete Work \$7.0
1781	Water Well Drilling \$7.0
1791	Structural Steel Erection \$7.0
1793	Glass and Glazing Work \$7.0
1794	Excavation Work \$7.0
1795	Wrecking and Demolition Work \$7.0
1796	Installation or Erection of Building Equipment, N.E.C. \$7.0
1799	Special Trade Contractors, N.E.C. \$7.0



1446	Industrial Sand	500
1455	Kaolin and Ball Clay	500
1459	Clay, Ceramic, and Refractory Minerals, N.E.C.	500
1474	Potash, Soda, and Borate Minerals	500
1475	Phosphate Rock	500
1479	Chemical and Fertilizer Mineral Mining, N.E.C.	500
1481	Nonmetallic Minerals Services, Except Fuels	\$5.0
1499	Miscellaneous Nonmetallic Minerals, Except Fuels	500
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0811	Timber Tracts	\$5.0
0831	Forest Nurseries and Gathering of Forest Products	\$5.0
0851	Forestry Services	\$5.0

MAJOR GROUP 09--FISHING, HUNTING, AND TRAPPING

0912	Finfish	\$3.0
0913	Shellfish	\$3.0
0919	Miscellaneous Marine Products	\$3.0
0921	Fish Hatcheries and Preserves	\$3.0
0971	Hunting and Trapping, and Game Propagation	\$3.0

DIVISION B -- MINING

MAJOR GROUP 10--METAL MINING

1011	Iron Ores	500
1021	Copper Ores	500
1031	Lead and Zinc Ores	500
1041	Gold Ores	500
1044	Silver Ores	500
1061	Ferroalloy Ores, Except Vanadium	500
1081	Metal Mining Services	\$5.0
1094	Uranium-Radium-Vanadium Ores	500
1099	Miscellaneous Metal Ores, N.E.C.	500

MAJOR GROUP 12--COAL MINING

1221*	...	Bituminous Coal and Lignite Surface Mining	500
1222*	...	Bituminous Coal Underground Mining	500
1231*	...	Anthracite Mining	500
1241*	...	Coal Mining Services	\$5.0

MAJOR GROUP 13--OIL AND GAS EXTRACTION

1311	Crude Petroleum and Natural Gas	500
1321	Natural Gas Liquids	500
1381	Drilling Oil and Gas Wells	500
1382	Oil and Gas Field Exploration Services	\$5.0
1389	Oil and Gas Field Services, N.E.C.	\$5.0

MAJOR GROUP 14--MINING AND QUARRYING OF NONMETALLIC MINERALS, EXCEPT FUELS

1411	Dimension Stone	500
1422	Crushed and Broken Limestone	500
1423	Crushed and Broken Granite	500
1429	Crushed and Broken Stone, N.E.C.	500
1442	Construction Sand and Gravel	500



0161	Vegetables and Melons	\$0.5
0171	Berry Crops	\$0.5
0172	Grapes	\$0.5
0173	Tree Nuts	\$0.5
0174	Citrus Fruits	\$0.5
0175	Deciduous Tree Fruits	\$0.5
0179	Fruits and Tree Nuts, N.E.C.	\$0.5
0181	Ornamental Floriculture Nursery Products	\$0.5
0182	Food Crops Grown Under Cover	\$0.5
0191	General Farms, Primarily Crop	\$0.5

MAJOR GROUP 02---LIVESTOCK AND ANIMAL SPECIALTIES

0211	Beef Cattle Feedlots (Custom).....	\$1.5
0212	Beef Cattle, Except Feedlots	\$0.5
0213	Hogs	\$0.5
0214	Sheep and Goats	\$0.5
0219	General Livestock, Except Dairy and Poultry	\$0.5
0241	Dairy Farms	\$0.5
0251	Broiler, Fryer, and Roaster Chickens	\$0.5
0252	Chicken Eggs	\$9.0
0253	Turkeys and Turkey Eggs	\$0.5
0254	Poultry Hatcheries	\$0.5
0259	Poultry and Eggs, N.E.C.	\$0.5
0271	Fur-Bearing Animals and Rabbits	\$0.5
0272	Horses and Other Equines	\$0.5
0273	Animal Aquaculture	\$0.5
0279	Animal Specialties, N.E.C	\$0.5
0291	General Farms, Primarily Livestock and	\$0.5
		Animal Specialties		

MAJOR GROUP 07---AGRICULTURAL SERVICES

0711	Soil Preparation Services	\$5.0
0721	Crop Planting, Cultivating, and Protecting	\$5.0
0722	Crop Harvesting, Primarily by Machine.....	\$5.0
0723	Crop Preparation Service for Market, Except	\$5.0
		Cotton Ginning		
0724	Cotton Ginning	\$5.0
0741	Veterinary Services for Livestock	\$5.0
0742	Veterinary Services for Animal Specialties	\$5.0
0751	Livestock Services, Except Veterinary	\$5.0
0752	Animal Specialty Services, Except Veterinary...	\$5.0
0761	Farm Labor Contractors and Crew Leaders	\$5.0
0762	Farm Management Services	\$5.0
0781	Landscape Counseling and Planning	\$5.0
0782	Lawn and Garden Services	\$5.0
0783	Ornamental Shrub and Tree Services	\$5.0

MAJOR GROUP 08--FORESTRY



Small Business Size Standards by Standard Industrial Classification (SIC) Codes (Effective March 1, 1996)

	PAGE
A. Agriculture.....(SIC 0111 - 0971)	1
B. Mining.....(SIC 1011 - 1499)	3
C. Construction.....(SIC 1521 - 1799)	4
D. Manufacturing.....(SIC 2011 - 3999)	5
E. Transportation, Communication, Electric, Gas & Sanitary Svc....(SIC 4011 - 4971)	16
F. Wholesale Trade.....(SIC 5012 - 5199)	18
G. Retail Trade.....(SIC 5211 - 5999)	20
H. Finance, Insurance, Real Estate.(SIC 6021 - 6799)	22
I. Services.....(SIC 7011 - 8999)	24

New SIZE STANDARDS BY SIC INDUSTRY Effective March 1, 1996

(* = NEW SIC CODE IN 1987, NOT USED IN 1972)	DESCRIPTION (N.E.C.= Not Elsewhere Classified)	SIZE STANDARDS IN NUMBER OF EMPLOYEES OR IN MILLION OF DOLLARS
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For all industries not specifically listed in this table, except for those in Divisions I (Services) and J (Public Administration, which is not eligible for SBA or Federal Procurement programs) of the SIC System, the size standard is \$5.0 million in annual receipts.

FOOTNOTES ARE IN PARENTHESES. SEE FOOTNOTES

DIVISION A -- AGRICULTURE

MAJOR GROUP 01--AGRICULTURAL PRODUCTION--CROPS

0111	Wheat..... \$0.5 (1)
0112	Rice \$0.5
0115	Corn \$0.5
0116	Soybeans \$0.5
0119	Cash Grains, N.E.C \$0.5
0131	Cotton \$0.5
0132	Tobacco \$0.5
0133	Sugarcane and Sugar Beets \$0.5
0134	Irish Potatoes \$0.5
0139	Field Crops, Except Cash Grains, N.E.C. \$0.5

